

**IOWA WEATHERIZATION ASSISTANCE PROGRAM  
AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA)  
STATE PLAN AND GRANT APPLICATION**

**Introduction**

The Low-Income Weatherization Assistance Program (WAP) is authorized by Title IV of the Energy Conservation and Production Act, Public Law 94-385, as amended. The purpose of the program is to increase the energy efficiency of dwellings owned or occupied by low-income persons, particularly low-income persons who are vulnerable such as the elderly, persons with disabilities, and children, reduce their residential energy expenditures, and improve their health and safety.

The U.S. Department of Energy (DOE) has the responsibility for administering the Weatherization Program. DOE allocates funds to the governors of the states for the administration of the Weatherization Program at the state level. The Governor of Iowa has designated the Department of Human Rights (DHR), Division of Community Action Agencies (DCAA), Bureau of Weatherization, to administer the program in accordance with DOE rules and regulations.

**American Recovery and Reinvestment Act (ARRA)**

The Weatherization Assistance Program received funding under the American Recovery and Reinvestment Act (ARRA) which was signed into law on February 17, 2009. The Department of Energy is requiring a separate state plan for the ARRA funding.

**Funding**

Iowa's allocation of the American Recovery and Reinvestment Act (ARRA) is \$80,834,411. This funding covers the 3-year period, April 1, 2009 – March 31, 2012.



**BUDGET INFORMATION - Non-Construction Programs**

1. Program/Project Identification No. Amendment number:	EE00105 A000	2. Program/Project Title Weatherization Assistance For Low Income Persons
3. Name and Address	STATE OF IOWA Lucas State Office Building Des Moines IA 50319-	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DOE	81.042	\$ 0.00		\$ 80,834,411.00		\$ 80,834,411.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTALS		\$ 0.00	\$ 0.00	\$ 80,834,411.00	\$ 0.00	\$ 80,834,411.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMIN	(2) SUBGR SPEC PROJECTS	(3) SUBGR T&TA	(4) SUBGR ADMIN	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
f. Contractual	\$ 4,041,720.55	\$ 3,000,000.00	\$ 11,168,618.00	\$ 4,041,720.55	\$ 80,834,411.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
i. Total Direct Charges	\$ 4,041,720.55	\$ 3,000,000.00	\$ 11,168,618.00	\$ 4,041,720.55	\$ 80,834,411.00
j. Indirect Charges	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
k. Totals	\$ 4,041,720.55	\$ 3,000,000.00	\$ 11,168,618.00	\$ 4,041,720.55	\$ 80,834,411.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

**BUDGET INFORMATION - Non-Construction Programs**

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3. Name and Address	STATE OF IOWA Lucas State Office Building Des Moines IA 50319-	4. Program/Project Start Date 04/01/2009
		5. Completion Date 03/31/2012

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTALS		\$ 0.00	\$ 0.00	\$ 80,834,411.00	\$ 0.00	\$ 80,834,411.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) SUBGR H&S	(2) SUBGR PROGRAM OPERATION	(3)	(4)	
a. Personnel	\$ 0.00	\$ 0.00			\$ 0.00
b. Fringe Benefits	\$ 0.00	\$ 0.00			\$ 0.00
c. Travel	\$ 0.00	\$ 0.00			\$ 0.00
d. Equipment	\$ 0.00	\$ 0.00			\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00			\$ 0.00
f. Contractual	\$ 11,716,470.38	\$ 46,865,881.52			\$ 80,834,411.00
g. Construction	\$ 0.00	\$ 0.00			\$ 0.00
h. Other	\$ 0.00	\$ 0.00			\$ 0.00
i. Total Direct Charges	\$ 11,716,470.38	\$ 46,865,881.52			\$ 80,834,411.00
j. Indirect Charges	\$ 0.00	\$ 0.00			\$ 0.00
k. Totals	\$ 11,716,470.38	\$ 46,865,881.52			\$ 80,834,411.00
7. Program Income	\$ 0.00	\$ 0.00			\$ 0.00

U.S. DEPARTMENT OF ENERGY  
GOLDEN FIELD OFFICE



BUDGET EXPLANATION FOR FORMULA GRANTS

Applicant: STATE OF IOWA

Budget period: 04/01/2009 - 03/31/2012

Award number: EE00105

Amendment number: A000

1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form DOE F 4600.4, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

<u>Position</u>	<u>Description of Duties of Professionals</u>
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Direct Personnel Compensation:

<u>Position</u>	<u>Salary/Rate</u>	<u>Time</u>	<u>Direct Pay</u>
	\$0.00		

2. **FRINGE BENEFITS**

- a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and include a copy of the rate agreement.
- b. If a above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations as an attachment.

3. **TRAVEL** - Identify total foreign and domestic travel as separate items.

- a. Proposed travel:

<u>Purpose of Trip</u>	<u>Number of Trips</u>	<u>Cost Per Trip</u>	<u>Total</u>
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4. **EQUIPMENT** - As defined in 10 CFR 660.202. Definitions are at [http://www.access.gpo.gov/nara/cfr/waisidx\\_00/10cfr660\\_202.html](http://www.access.gpo.gov/nara/cfr/waisidx_00/10cfr660_202.html)

- a. Basis of cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.):

- b. Equipment to be purchased and justification of need:

<u>Equipment</u>	<u>Unit Cost</u>	<u>Number</u>	<u>Total Cost</u>	<u>Justification of Need</u>
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04/28/2009

**5. MATERIALS AND SUPPLIES** - As defined in 10 CFR 660.202.

a. Basis cost estimates (e.g., vendor quotes, prior purchases of like items, etc.):

b. Supplies to be purchased and justification of need:

General Category	Cost	Justification of Need
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**6. CONTRACTS AND SUBGRANTS** - All other participant costs including subcontractor sub-grants, and consultants For ongoing subcontractors and sub recipients described elsewhere in the application, document and item number is listed.

Name of Proposed Sub	Total Cost	Basis of Cost*
Subgrantees (Admin & Program Allocation)	\$62,624,072.45	Based on subgrantee allocation table found in Section II.3 of the Annual file. Amount for each subgrantee is determined by the state formula allocation.
Subgrantees (T&TA)	\$11,168,618.00	Training of new contractors, crew workers, inspectors, evaluators and critical personnel for ramp up. Based on historical data.
Subgrantees Spec Projects	\$3,000,000.00	Reserve for anticipated future expenses, i.e. additional staff, equipment, vehicles; coordinate establishment of training center; write training curriculum.
Grantee Admin	\$4,041,720.55	Reserve for anticipated future administrative expenses, i.e., additional staff, equipment, vehicles.
Contracts and Subgrants Total	\$80,834,411.00	

\*For example, Competitive, Historical, Quote, Catalog

**7. OTHER DIRECT COSTS** - All direct costs not included in above categories

a. Basis for cost estimates (e.g., vendor quotes, prior purchase of similar items, etc.):

b. Other direct costs and justification of need:

General Description	Cost	Justification of Need
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**8. INDIRECT COSTS**

a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.

b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name:

Phone Number:

04/28/2009

## U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

## WEATHERIZATION ANNUAL FILE WORKSHEET

Expiration Date: 6-30-08

Grant: EE00105

Amendment: 000

State: IA

Program year: 2009

Budget period: 04/01/2009 - 03/31/2012

## II.3 Subgrantees

Grantee	City	Tentative	
		Funding	Units
Eastern Iowa, Community Action of	Davenport	6,692,997.02	654
Hawkeye Area Community Action Program	Hiawatha	8,958,432.62	875
MATURA Action Corporation	Creston	1,593,922.10	156
Mid-Iowa Community Action (MICA)	Marshalltown	5,630,382.28	550
Mid-Sioux Opportunity Inc.	Remsen	1,918,609.95	187
New Opportunities, Inc	Carroll	3,276,395.46	320
North Iowa Community Action Organization	Mason City	4,132,390.67	404
Northeast Iowa Community Action Corporation	Decorah	3,150,947.88	308
Operation : New View Community Action Agency	Dubuque	2,988,603.96	292
Operation Threshold	Waterloo	4,560,388.27	445
Polk County Board of Supervisors	Des Moines	7,600,647.12	743
Red Rock Area Community Action Program, Inc	Indianola	1,889,092.88	184
Siouxland, Community Action Agency of	Sioux City	3,099,293.00	303
South Central Iowa Community Action Program	Leon	1,534,887.96	150
Southeast Iowa, Community Action of	Burlington,	3,025,500.31	296
Southern Iowa Economic Development Association	Ottumwa	3,955,288.21	387
Upper Des Moines Opportunity, Inc.	Graettinger	4,981,006.61	487
West Central Community Action	Harlan	4,803,904.15	470
<b>TOTALS</b>		73,792,690.45	7,211

## II.4 WAP Production Schedule

<b>Total Units (excluding reweatherized)</b>	<b>7,211</b>
Units by type (excluding reweatherized):	
Owner-occupied single-family site-built	
Single-family rental site-built	
Multi-family	
Owner-occupied mobile home	
Renter-occupied mobile home	
Shelter	
Units by occupancy:	
Elderly	
Persons with disabilities	
Native American	
Children	
High residential energy user	
Household with a high energy burden	
Other unit types:	
<b>Rewatherized Units</b>	<b>0</b>

## U.S. Department of Energy

(08/05)

## WEATHERIZATION ANNUAL FILE WORKSHEET (continued)

Expiration Date: 6-30-08

Grant: EE00105

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State: IA

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Budget period: 04/01/2009 - 03/31/2012

Average Unit Costs, including Reweathering, Subject to DOE Program Rules	
VEHICLES & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)	
A	Total Vehicles & Equipment (\$5,000 or more) Budget
B	Total Units Weatherized
C	Total Units Reweatherized
D	Total Dwelling Units to be Weatherized and Reweatherized (B + C)
E	Average Vehicle & Equipment Acquisition Cost per Unit (A divided by D)
AVERAGE COST PER DWELLING UNIT (DOE RULES)	
F	Total Funds for Program Operations
G	Total Dwelling Units to be Weatherized and Reweatherized (from line D)
H	Average Program Operations Cost per Unit (F divided by G)
I	Average Vehicle & Equipment Acquisition Cost per Unit (from line E)
J	Total Average Cost per Dwelling (H plus I)

## II.5 Energy Savings

Method used to calculate energy savings: WAP algorithm ☐ Other (describe below) ☒

Estimates for energy savings for Program Years 2008 and 2009 are shown below. The estimates are based on the methodology provided in PN06-3. Estimated savings are computed by multiplying 30.5 MBTU's by the estimated number of homes that will be completed.

Annual Estimated Energy Savings (in MBTU's) from DOE funds: \*\*  
 2009 = 219,936      2008 = 31,683

Annual estimated Energy savings (in MBTU's) from all Funding Sources: \*\*  
 2009 = 283,102      2008 = 68,971

Estimated energy savings: 219,936 (MBtu)

Estimated prior year savings: Actual: 0

If variance is large, explain:

## II.6 Training, Technical Assistance, and Monitoring Activities

## II.6 Training, Technical Assistance, and Monitoring Activities

The training and technical assistance approach used by the state is described in Section III.6.4 of the Master File. Training and technical assistance is provided with the goal of high performance administration of the weatherization program at the local agency level. Program oversight activities include program and fiscal monitoring and completed house inspections. DOE funds will be used to cover the salaries for staff that do program and fiscal monitoring, house inspections, and training. T&TA funds will be used to cover the travel expenses associated with the program and fiscal monitoring and house inspections.



## U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

Expiration Date: 6-30-08

Grant: EE00105

Amendment: 000

State: IA

Program year: 2009

Budget period: 04/01/2009 - 03/31/2012

ARRA Specific: The state will hire at least one person to provide training and additional monitoring. The state will also contract with or hire a person to specifically monitor compliance with Recovery Act activities including DavisBacon compliance.

**Training**

The State Weatherization Office will conduct the following training in FY 2009. Most of the training will be offered several times during the year.

**Technical**

- Basic furnace
- Advanced furnace
- Basic evaluator
- Blower Door / Zonal Pressure
- Combustion Health & Safety
- Lead Safe Weatherization
- Lead Safe Weatherization Hands-On Refresher
- NEAT Audit/NEATSHELL
- MHEA Audit
- Mobile Homes
- Mold / Moisture / Ventilation / BTL
- Slate Safe Work Practices
- Miscellaneous Technical Training

**Administrative**

- Weatherization Reporting System (WAMS)
- Fiscal
- Davis-Bacon Compliancy

Weatherization private contractors and local agency crew workers and evaluators are required to attend Lead Safe Weatherization (LSW) training. The LSW training is in accordance with the LSW training that has been developed by the Iowa Department of Public Health (IDPH) and the minimum LSW curriculum developed by the U.S. DOE. To date, all current local workers, evaluators, and contractors have received the LSW training.

The current LSW training curriculum will be expanded to incorporate the new LSW requirements for 2009. The State will continue to provide LSW training on an as needed basis for new crew workers, evaluators, and contractors. A refresher LSW course will be offered that will cover the new LSW requirements for 2009. Local agency crew workers and evaluators and private contractors who have already had LSW training will be required to attend the LSW refresher training.

T&TA funds will be provided to the local agencies to use for training and for needed program-related vehicles and equipment.

**ARRA Specific:**

In order to address the additional evaluators who will be hired to meet production needs, the basic evaluator training has been expanded to a 5-day course which will cover the NEAT and MHEA energy audits. Basic evaluator training is scheduled for every other week for a month and a half to begin with. Additional courses will be scheduled as needed after that.

The number of basic furnace diagnostic courses, Lead Safe Weatherization and Slate Siding Safe Work Practices courses will be increased to meet demand. The number of other courses for evaluators will be increased to meet demand.

The state is contracting with Hawkeye Area Community Action Program (HACAP) to provide mobile crew/contractor weatherization training. This will take the crew/contractor training to the crews and contractors at the local agencies. It will be a 4 or 5-day course that will include classroom as well as hands-on training. The hands-on training will be done on mock-ups and on houses. Agencies will also receive significant T&TA funds they can use to provide their own crew or contractor training if they wish.

Davis-Bacon Compliancy training will be offered also.

**Technical Assistance**

Training and technical assistance is provided to local agencies as an integral part of monitoring. Monitoring visits focus on technical assistance as well as compliance. Technical assistance is also provided throughout the year by all state weatherization staff through phone calls and emails from local agencies. The state office also uses a weatherization website and newsletter as a way of providing technical assistance to the local agencies. In addition to containing statewide program information and materials, the website also contains examples of local agency internal management tools that other agencies may want to use.

**Client Education**

## U.S. Department of Energy

(08/05)

## WEATHERIZATION ANNUAL FILE WORKSHEET (continued)

Expiration Date: 6-30-08

Grant: EE00105

Amendment: 000

State: IA

Program year: 2009

Budget period: 04/01/2009 - 03/31/2012

Client Energy Education Savings Guides have been developed by the Iowa Weatherization Program. Subgrantees will provide these to clients when they go to the clients' homes. Energy education will also be done by subgrantees during home audits.

**Monitoring**

The monitoring approach used by the state is described in Section III.6.3 of the Master File. The monitoring process includes both in-house and on-site monitoring and inspections of houses that have been weatherized. All agencies are monitored annually. The on-site monitoring consists of reviewing both program and fiscal operations. Special emphasis is placed on problem areas noted in previous monitoring reviews or recently implemented program requirements. If a subgrantee had no major program monitoring findings, the State may, at its discretion, choose not to conduct program monitoring at that agency the next year. This allows more time to provide technical assistance and to conduct multiple reviews of subgrantees that had major findings or have a new program manager. Housing inspections and fiscal monitoring will be done at every agency.

**ARRA Specific** The state will conduct ongoing monitoring of agency production. If agencies are not meeting production goals and do not have a credible plan on how they will increase capacity to meet the goals, the state will transfer funds to other agencies. Those agencies will provide weatherization service in the areas that are being under-served.

**II.7 DOE-Funded Leveraging Activities**

N/A

**II.8 Policy Advisory Council Members (names, groups, agencies)**

Kathy Beauchamp	
Merl McFarlane	
Tom Letsche	
Marc Lindeen	
Amy Peiffer	
Robert Tyson	
G Kevin Middleswart	
Amber Amos	
Michelle Hatfield	

**II.9 State Plan Hearings (send notes, minutes, or transcript to the DOE office)**

Hearing Date
05/08/2009

Newspapers that publicized the hearings and the dates that the notice ran

Des Moines Register - Monday, April 28, 2009

**II.10 Adjustments to On-File Information**

II.5 Energy Saving. Revision. The MBTU's savings increased to 30.5 MBTU per completed home. The revision is based on the methodology provided in PGN 06-3.

III.3.2. Energy Audit Procedures / Single Family Homes. An audit is performed on every *single-family* dwelling/unit that is weatherized.

III.3.2. Energy Audit Procedures / Mobile Homes. Replace text with "Iowa will begin using the MHEA Audit on mobile homes in PY 2009."

III.6.3.3 Monitoring of Program Operations. Additional text: If a subgrantee had no major program monitoring findings, the state may, at its discretion, choose not to conduct monitoring of the subgrantee's program operations the following year, etc.

# U.S. Department of Energy

## WEATHERIZATION ANNUAL FILE WORKSHEET (continued)

Expiration Date: 6-30-08

Grant: EE00105

Amendment: 000

State: IA

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Budget period: 04/01/2009 - 03/31/2012

III.6.3.5 In-House Monitoring. New paragraph; text taken from former III.6.3.3. The DCAA reviews monthly financial and data reports from the subgrantees to ensure the subgrantees are on schedule to spend their funds and to check for unusual charges. NEAT Audit results may be monitored to ensure the subgrantees are correctly using the audit.

III.6.3.5. Subgrantee Assessment. Numeration changed. Subgrantee Assessment is now paragraph III.6.3.6.

III.6.4.2. Training & Technical Assistance Needs Assessment. Delete: Feedback from the state technical group is used to identify technical training needs.

III.6.4.3. Training Additional text: The state provides sub-grantees with T&TA funds that can be used for crew/contractor training and to obtain other weatherization-related training.

Replace "evaluators are required to have the following trainings" with "auditors are required to have the following trainings", etc.

III.6.4.4. Technical Assistance. Additional text: The state office also uses a weatherization website and newsletter as a way of providing technical assistance to the local agencies. In addition to containing statewide program information and materials, the website also contains examples of local agency internal management tools that other agencies may want to use.

## II.11 Miscellaneous

Iowa received approval of the 40 percent waiver on March 3, 1994.

The Program has chosen to use Iowa's Commission on Community Action Agencies' (Commission) as its policy advisory council. The Commission approves rules for the Division of Community Action Agencies' programs, including the Weatherization Program. Following are the reasons the Commission has been chosen as the advisory body:

- Commission members have a good knowledge of the program's policies and issues and of the provider network that administers the program at the local level.
- Commission members also have a good knowledge of Weatherization's companion program, LIHEAP.
- One-third (1/3) of the Commission members are low-income representatives. (It was difficult to get low-income representation on the policy advisory council.)
- The Commission meets a minimum of four (4) times a year

Copies of the state plan will also be sent to the following organizations for review and comment:

- Iowa Dept of Human Rights, Division of Persons with Disabilities
- Iowa Utility Association
- Department of Natural Resources (State Energy Office)
- Area Agency on Aging
- Iowa Community Action Agency Association
- Iowa Dept of Elder Affairs
- Iowa Dept of Human Rights, LIHEAP Program
- 18 Community Action Agencies

### American Recovery and Reinvestment Act (ARRA)

All subgrantees completed a plan addressing their ramp-up in response to the ARRA funding. Their plans included estimates of the following:

- The number of additional homes they would weatherize due to the ARRA funding.
- The number of additional auditors, crew workers, contractors, and office staff that would need to be hired in order to spend the ARRA funds.
- The equipment and vehicles the subgrantees would need in order to spend the ARRA funds and estimates of the costs of the equipment and vehicles.

At this time, the subgrantees estimate they will weatherize an additional 9,869 homes with ARRA funds. They are planning to hire almost 50 additional auditors, 70 additional crew workers, and 20 additional office workers. The subgrantees also plan to contract with at least 120 additional contractors. The subgrantees will spend about \$1.3 million on equipment and \$2.1 million on vehicles.

**U.S. Department of Energy**

(08/05)

**WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

Expiration Date: 6-30-08

**Grant: EE00105**

**Amendment: 000**

**State: IA**

**Program year: 2009**

**Budget period: 04/01/2009 - 03/31/2012**

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Additional state monitoring due to ARRA is addressed in Section II.6.

Additional training due to ARRA is addressed in Section II.6.

The current software programs that are used to determine eligibility already allow for eligibility determination at 200 Percent of poverty.

The current weatherization reporting software program the subgrantees use to report to the state allow for reporting by funding source on a per measure basis.

If final guidance from DOE requires compliance with prevailing wage requirements, the state will ensure the subgrantees and private contractors are aware of this, are trained on this, and will comply with this.

## U.S. Department of Energy

OMB Control No. 1910-5127

## WEATHERIZATION ANNUAL FILE WORKSHEET (continued)

Expiration Date: 6-30-08

Grant: EE00105

Amendment: 000

State: IA

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At this time, the subgrantees estimate they will weatherize an additional 9,869 homes with ARRA funds. They are planning to hire almost 50 additional auditors, 70 additional crew workers, and 20 additional office workers. The subgrantees also plan to contract with at least 120 additional contractors. The subgrantees will spend about \$1.3 million on equipment and \$2.1 million on vehicles.

Additional state monitoring due to ARRA is addressed in Section II.6. See responses to specific questions at the end of this paragraph.

Additional training due to ARRA is addressed in Section II.6.

The current software programs that are used to determine eligibility already allow for eligibility determination at 200 Percent of poverty.

The current weatherization reporting software program the subgrantees use to report to the state allow for reporting by funding source on a per measure basis.

If final guidance from DOE requires compliance with prevailing wage requirements, the state will ensure the subgrantees and private contractors are aware of this, are trained on this, and will comply with this.

Specific responses for monitoring questions:

1. What preparations have you made, to date, in anticipation of the increased funding for your state under ARRA? Please describe your production objectives for ARRA funds and plans for assuring they are met.

- a. How will you ensure that, as production increases dramatically, the quality of the program will be maintained?
- b. If the performance period is reduced to 18 months, how will this affect your ramp-up plans, production performance, and expected expenditure level?
- c. Will this shorter period of performance cause you to change your initial estimated production goal?

a. Currently estimated to be 7,210 homes if enough time is allowed and all funds are spent. We will monitor this and try to move funds to other agencies if necessary but there is no way to guarantee all production will be met. We do not believe using entities outside the current network is feasible given the short period of time to spend the funds and the fact that the state would have to go through a public hearing, an RFP process, and provide extensive training to any new provider on not just technical methods and standards but also on the program policies and rules and the reporting system. The program is too complicated to bring a provider with no prior WAP experience up to speed to really affect production in a meaningful way in this timeframe without using human resources we don't have and won't get approval to hire. We brought a new provider into WAP a few years ago and it took about two years before the agency was able to perform well and that was when we could spend a lot of time working with them. We are spread too thin now with all the requirements being imposed on us to spend that amount of time with new providers.

b. We are hiring one additional person to help with training and monitoring and hope to hire at least one more person to do this. We are providing increased training for new auditors and new crew workers and contractors.

c. It's pretty obvious. The less time there is to spend the funds, the greater risk there is that we won't be able to spend all the funds. Reducing the performance period to 18 months has a great impact on planning. Agencies would need more staff (auditors, crew workers, clerical) and therefore more vehicles and equipment than they would if the period is three years. If the 18 month consideration is based on the period ending 9/30/10 than that is not really 18 months. Due to the Davis-Bacon requirement it will take local agencies several months to be situated where they will be in compliance with the requirement. None of our agencies have any experience with D/B. Most, if not all of our contractors have not had experience with D/B. This will require a lot of training before production can even begin so agencies and contractors will be in compliance. None of Iowa's 99 counties has a prevailing rate established for insulator or HVAC installer. Those rates would have to be established before production could begin. It's likely the D/B requirement could result in a 6 month delay in beginning production. The 18 month period is then reduced to a little more than a year to spend the funds.

d. The shorter period would in all likelihood affect production estimates. At some point it's not realistic to believe this large amount of funding can be spent in such a short timeframe because the program is production-based. Given what has to be done in terms of hiring new people, training them, and purchasing vehicles and equipment for them, limiting the period of performance too severely makes the goal of spending all the funds unachievable.

2. How will you assure that local agencies are on track and what steps will your office take if subgrantees are not meeting production goals?

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**WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

OMB Control No. 1910-5127

Expiration Date: 6-30-08

Grant: EE00105

Amendment: 000

State: IA

Program year: 2009

Budget period: 04/01/2009 - 03/31/2012

We will be monitoring production. If agencies are not meeting production goals and don't have a good plan on how they will meet the goals, we will move funds to another agency. The agencies understand the risk to the network if they don't perform and have said they will try to cover for agencies that may be under-performers. We realize this is not a guarantee that we will meet production goals but we don't believe there is a viable alternative for us. We are in a very small department with few staff. We don't have the staff to try to bring outside providers into the program. Our options are trying to provide TA to the existing network as much as possible and monitor it carefully and try to get the best out of what we have. If we don't spend all the money at least the quality should still be good. If staff time is spent going through an RFP process to bring in new providers and then spent training them in all areas of the program, there would be little time left to provide TA to the other agencies and to monitor them closely.

**3. What are your plans for implementing all the new requirements established under the ARRA, such as: specific reporting requirements; the \$6500 per unit average; the increase to 200% eligibility; prevailing wage requirements, etc.**

We will meet the reporting requirements. Agencies now submit monthly reports to us by the 8th day of the month. We will be adding the additional reporting requirements they will need to send us. The data collection/reporting system we use automatically determines the average cost that can be charged to DOE and any additional cost is charged to LIHEAP or utility funds. Our eligibility software programs can currently determine 200% of poverty. The prevailing wage issue will be a much greater challenge. Refer to comments made in 1.c above. We have provided training to the agencies on D/B but the agencies will need much more training. We are working on developing a packet on D/B to help agencies. Prevailing rates for insulators and HVAC installers will have to be determined for every county in the state. We estimate it could take six months or longer to have the network trained and ready to comply with D/B. That's six less months less we have to spend the ARRA funds (assume we can't spend ARRA funds until the network is ready to be in compliance with D/B). We also have very serious concerns that we will lose contractors who will not be willing to deal with the weekly payment requirement, certified payroll requirement, etc. of D/B.

- a. What are your plans for meeting the increased training needs as a result of ARRA?
- b. Would establishing a training center in your state best meet your needs, or are you looking to meet your training needs in some other manner?

a. We have expanded our evaluator training from 3 days to 5 days to include training on the NEAT and MHEA audits. We have basic evaluator training scheduled for every other week through May. (We have already had two courses) Additional basic evaluator courses will be scheduled as needed. We have increased the number of basic furnace diagnostic courses we offer. We have increased the number of LSW courses we offer. We will also be increasing the number of other evaluator training courses we offer. We are contracting with an agency to provide mobile crew/contractor training for the agencies. The training agency will add more training crews if the demand warrants that. The training will be taken to the agencies and will be a one-week training including classroom and hands-on. The hands-on will consist of using mock-ups and working on real houses. We are providing agencies with significant T&TA funds they can use to provide training on their own to their crews or contractors.

b. We are not planning to establish a training center in the classical sense. We used to have a training center and found that it was difficult to impossible to get contractors to come to the training. Two-thirds of our agencies now use contractors so we need to find a way to take the training to them. Also, we believe we have to start spending the ARRA funds now if we have any hope of spending all of them. That means being ready to train now. Not in six months or a year. That's another reason we don't believe setting up training through a community college or establishing a training center is a realistic solution. Those may be good long term solutions. Our plan described in b. above is to have a "mobile" training center that takes the training to the crews and contractors. We do have a furnace lab where we train auditors on basic and advanced furnace diagnostics and combustion health and safety. We also have a pseudo-training center for the basic evaluator training where classroom training is done at the center and the hands-on training is done at houses.

**4. Please describe how you will assure that quality is maintained, and compliance with all WAP rules and guidance is achieved, as you expend ARRA funds to weatherize significantly more units.**

Much of this is explained in 3 above. We plan to increase our monitoring capacity. We are hiring one new position now to help with monitoring. We may be contracting with other department staff to assist with monitoring.

**5. What, specifically, can DOE do to enhance your capacity to meet ARRA objectives?**

These are the biggest things in order of importance

- Do away with or find a workable alternative to D/B
- Allow agencies an immediate and easy way to purchase equipment and vehicles needed for ramp-up. (How can agencies ramp-up without the funds to purchase equipment and vehicles? An easier way to handle the purchase rather than spreading the costs over the homes would also help a lot.)
- Provide clarification on many of the outstanding issues. Such as: What can the 10% be spent on, can we give any or all of it

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(08/05)

**WEATHERIZATION ANNUAL FILE WORKSHEET (continued)**

Expiration Date: 6-30-08

**Grant: EE00105**

**Amendment: 000**

**State: IA**

**Program year: 2009**

**Budget period: 04/01/2009 - 03/31/2012**

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to agencies to purchase equipment and vehicles, what if we use all of the 10% for admin now and then not receive the full amount of our allocation, what guidelines is DOE going to use in determining how much of the remaining 50% of funds will be given to states, etc. There are so many unanswered questions.

- Provide training on the new process for awarding grants. There are very little if any instructions on what to do and we don't know who to contact for help.
- Provide specific guidance on the use of T&TA funds (have heard conflicting stuff on this)

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**STATE PLAN/MASTER FILE WORKSHEET**

**Grant Number: T012551, State: IA, Program Year: 2009**

- This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

**III.1 Eligible Population**

**III.1.1 General Description**

**Definition of income used to determine eligibility:**

The definition of 'low-income' that Iowa uses to determine eligibility for the Iowa Weatherization Program complies with 10 CFR 440.22(a). Program eligibility is based on total household income at, or below, 200 percent of the poverty level, as established by the Office of Management and Budget (OMB). The income eligibility level is based on the income level used by the state's Low-Income Home Energy Assistance Program (LIHEAP). All eligible applicants for the LIHEAP Program are referred to the Weatherization Program. Persons may also apply for Weatherization Program assistance without applying for LIHEAP assistance, however, these persons will still be processed through the eligibility process used for the LIHEAP Program.

**Procedures to determine that units weatherized have eligibility documentation:**

No dwelling unit will be weatherized without documentation that the dwelling unit is an eligible unit, as defined in 10 CFR 440.22. The local subgrantees verify applicants' income during the application process. Subgrantees are required to maintain records that include documentation of client eligibility.

The local subgrantees maintain records of previously weatherized dwelling units in a computer database. The database is checked prior to scheduling a household for service to ensure that the house has not been previously weatherized. If the house has been previously weatherized and is not eligible for reweatherization, as defined in 10 CFR 440.18, the house will not be weatherized. If the house is eligible for reweatherization, the subgrantee makes a determination whether or not to reweatherize the house based on a number of factors including the energy usage of the house and the number of eligible households on the waiting list.

Iowa includes households with children as a priority in determining what households to serve.

**Definition of children:** Below age 6

**Recommend tribal organization(s) be treated as local applicant?** No

**If YES, Recommendation: If NO, statement that assistance to low-income tribe members and other low-income persons is equal:**

Low-income members of American Indians tribes will receive benefits equivalent to the assistance provided to other low-income persons in the state.

**III.1.2 Selection of Areas to Be Served**

The Division of Community Action Agencies (DCAA), within the Department of Human Rights, is designated by the Governor to administer the grant from the U.S. Department of Energy for the Weatherization Program. Local subgrantees are selected by the DCAA to administer the program in local areas throughout the state.

It is the intent of the DCAA, as the state grantee, to only consider and contract with subgrantees that have the capacity to meet the needs of the local areas they serve. The Code of Federal Regulations, 10 CFR, Part 440, requires states to give preference to Community Action Agencies and other non-profit entities when selecting subgrantees to administer local weatherization programs.

The basis for selecting the Iowa Weatherization Program's subgrantees includes consideration of the following:

- The subgrantee's experience and performance in administering a weatherization program
- The subgrantee's experience in assisting low-income persons in the area to be served
- The subgrantee's capacity to operate an effective weatherization program

In selecting subgrantees each year, the state gives priority to the subgrantees that are currently administering the program in



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### STATE PLAN/MASTER FILE WORKSHEET (continued)

Grant Number: T012551, State: IA, Program Year: 2009

the local areas. The reason for this is that these subgrantees have the vehicles, equipment, and trained staff needed to deliver the services. They also have extensive experience in delivering weatherizing services. However, prior to selecting current subgrantees to administer the program for the new year, the state reviews the results of subgrantee monitoring reviews and considers other performance factors in determining whether each current subgrantee is operating an effective program.

The Iowa Weatherization Program contracts with eighteen (18) subgrantees to provide weatherization service to clients in all counties of the state. Seventeen (17) subgrantees are Community Action Agencies. The other subgrantee is a local government.

Service areas are based largely on the Community Action Agencies' (CAA's) historical geographical boundaries. This enables the CAA's to use their existing outreach structure to inform low-income persons about the program and to take applications. The State of Iowa reserves the right to redesignate weatherization service areas.

The State of Iowa also reserves the right to operate the weatherization program in the service area of a defunded subgrantee, if, in the opinion of the program administrator, the subgrantee is not meeting the needs of the clients in that area. In the event a subgrantee elects to discontinue participation or is subject to defunding of its weatherization program, the state will initiate a request for proposal to all practical service agencies within the service area.

In the event that a subgrantee chooses to no longer administer the Weatherization Program in their service area or if a subgrantee is defunded, the state reserves the right to use an alternate subgrantee(s) to temporarily provide weatherization service in the service area of that subgrantee. The alternate subgrantee(s) would administer the program until a new subgrantee for that service area is selected by the state through a request for proposal process. The purpose of the alternate subgrantee is to minimize disruption in the delivery of weatherization service in the service area of a current subgrantee that is defunded or discontinues administering the program. All 18 subgrantees have requested to be considered alternate subgrantees. If an alternate subgrantee were needed, the following considerations would be used in making the selection:

- Capacity to deliver the service
- Quality of work
- Geographical proximity to the service area

#### III.1.3 Priorities

Priority for receiving service is given to households with the greatest potential for savings with additional priority to households occupied by elderly persons, persons with disabilities, and/or young children.

Client selection for service is based on a priority point system based on an estimate of annual client bill savings for heating, water heating, and air conditioning measures. Additional priority is given if any household members are elderly, disabled, or young children.

A household's client priority point total will be increased by 5 percent for each of the following situations:

- The household is occupied by an elderly person
- The household is occupied by a person with disabilities
- The household is occupied by young children

(A household's priority point total could be increased by 15 percent if each of the situations listed above exists.)

Clients may, at any time, request a recalculation of their priority point total.

Client priority is implemented on a per county basis. Clients will be served in order beginning with those clients with the highest client priority numbers, including increases for elderly, disabled, and children. Any waiver from the priority point system may be made for the following reasons only:

- Emergency situations, such as a heating system quits working during cold weather or an unsafe furnace or water heater poses an immediate health and safety risk to the client(s)
- Clients who are customers of utilities that are co-funding weatherization, or clients who are eligible for other funding sources which can be used in conjunction with regular weatherization program funds to pay for non-energy related health and safety and repair work (e.g. furnace repair / replacement, wiring or roof repair, asbestos abatement, etc.) may be served

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**STATE PLAN/MASTER FILE WORKSHEET (continued)**

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ahead of clients with higher priority numbers, if, by doing so, regular program funds (i.e. DOE or HEAP) can be spread further, thus allowing the subgrantee to serve more clients.

Shelters may be weatherized if prior state approval is obtained. Shelters are excluded from the priority point system.

### III.2 Climatic Conditions

The climatic conditions in Iowa range from an average low of 5,904 heating degree days in the southern portion of the state to a high of 8,201 heating degree days in the northeast portion of the state using a base of 65 degrees Fahrenheit. The heating degree statewide average is 6,927. The average heating degree-days in each area served by a weatherization project is shown below.

Iowa uses the NEAT Audit to determine cost-effective measures to install in eligible dwellings. The NEAT Audit considers heating degree-days in its analysis of cost effectiveness. The higher the degree-days, the more cost effective a measure or group of measures may be, if other factors remain constant. Each subgrantee uses the heating degree-day data provided with the NEAT Audit that is most appropriate to its geographical service area.

CLIMATIC CONDITIONS BY SUBGRANTEE AREA (seasonal heating degree days (HDD) (Base 65) - 30 Year Average):

Subgrantee Name	HDD 30-Year Average	HDD 30-Year Range
Community Opportunities	6,980	7,423 - 6,630
HACAP	6,672	6,948 - 6,042
Iowa East Central T.R.A.I.N.	6,505	7,042 - 6,225
MATURA	6,460	6,744 - 6,155
MICA	7,135	7,336 - 6,776
Mid-Sioux	7,503	7,787 - 7,065
North Iowa	7,670	8,061 - 7,165
NE Iowa	7,521	8,201 - 7,040
Operation: New View	7,181	7,612 - 6,626
Operation Threshold	6,960	7,586 - 6,227
Polk County	6,698	7,049 - 6,403
Red Rock	6,770	7,049 - 6,403
Siouxland	6,686	6,893 - 6,494
SCICAP	6,449	6,759 - 6,043
SE Iowa	6,182	6,405 - 5,969
SIEDA	6,210	6,534 - 5,904
Upper Des Moines	7,691	8,280 - 7,103
West Central	6,569	6,981 - 6,244

HDD data is from the state climatologist. The HDD 30-year average for each sub-grantee was calculated by summing the data for each weather site in each sub-grantee area and then calculating the average of that number. The HDD 30-year average range for each sub-grantee is the HDD 30-year average from the weather sites in the sub-grantee's area that have the highest and lowest 30-year average.

### III.3 Weatherization Work

#### III.3.1 Type of Work to Be Done

Iowa's weatherization protocol includes work on the building shell and mechanical systems and the installation of baseload measures. Following are the most commonly installed energy efficiency measures:

- Building shell
- Wall insulation
  - Attic insulation

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### STATE PLAN/MASTER FILE WORKSHEET (continued)

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- Crawl space insulation
- Band joist insulation
- Air leakage and bypass sealing

#### General heat waste control

- Water heater wraps
- Water pipe insulation
- Low-flow shower heads
- Faucet aerators

#### Mechanical system

- Heating system tuning and cleaning
- Heating system repair and replacement

#### Electric Baseload

- Refrigeration replacements
- Installation of compact fluorescent light bulbs

All materials used for improving energy efficiency will meet or exceed the standards listed in the most recent 10 CFR 440.14 Appendix A.

Program funds may also be used to do limited repair work needed to protect weatherization materials. Repair costs are included in the energy audit and the amount allowed for repairs is subject to the overall savings to investment ratio.

In addition to energy efficiency work and minor repairs, program funds may be used to mitigate certain health and safety problems found in clients' dwellings. Health and safety activities that are allowed in the program are described in Section III.4 of the plan.

### III.3.2 Energy Audit Procedures

Single-family Units (includes dwellings containing up to 4 units):

The NEAT Audit is used to determine the most cost-effective measures to install. An audit is performed on every single-family dwelling/unit that is weatherized. Energy costs used in the audit are updated annually. Six (6) weather-data locations are used in the audit. Each agency uses the weather data from the location nearest to its service area. General heat waste reduction measures that are cost-effective without the need for a site-specific energy audit are also installed. Examples of these measures include water heater wraps, water pipe insulation, faucet aerators, and low-flow shower heads.

Multi-Unit Dwellings (dwellings containing more than 4 units):

Less than one percent (<1%) of the dwellings weatherized annually are multi-unit dwellings. The program uses the NEAT Audit on multi-unit dwellings using the following protocol:

The NEAT Audit is run for each different type of unit in the dwelling. Separate audits are run for first floor units, units that do not have a foundation or attic, and units on the top floor. The measures installed in the different types of units are based on what the audit recommends. General heat waste reduction measures are also installed.

Mobile Homes: Iowa will begin using the MHEA Audit on mobile homes in PY 2009.

<u>Unit Types</u>	<u>Audit Procedures and Dates Most Recently Approved by DOE</u>
Single-family	The NEAT Audit is run on every home. Iowa's single-family audit was re-approved by DOE on 12/18/07.
Multi-family	The NEAT Audit is run for each different type of unit and a top floor unit
Mobile Home	The Manufactured Home Energy Audit(MHEA) will be used.

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**STATE PLAN/MASTER FILE WORKSHEET (continued)**

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### **III.3.3 Final Inspection**

Each subgrantee is required to conduct a final inspection of each completed dwelling unit to ensure the following:

- All work that should have been performed was done
- Work priorities were followed
- All measures were installed properly
- All work performed was of good quality
- No health and safety problems were created or exacerbated by the work that was done

Subgrantees must sign each final inspection form certifying that the factors listed above were met. The final inspection forms must be filed in the client (household) file. Compliance with this requirement is checked during program monitoring visits. Subgrantees may not report dwellings as complete until a final inspection of the unit has been performed.

### **III.3.4 Assessment of Effectiveness**

The DCAA conducts an annual evaluation of the Iowa Weatherization Program. The DCAA also conducts a performance review of each subgrantee to assess each subgrantee's needs, strengths, and weaknesses. The performance assessment consists of the following:

- A review of each subgrantee's fiscal and program monitoring and house inspection results
- A review of each subgrantee's financial and data submissions
- A review of each subgrantee's annual production
- An analysis of each subgrantee's annual energy savings
- A review of each subgrantee's attendance at training sessions and state meetings

The performance assessment is used to determine technical assistance and training needs.

Expenditures in the DOE Health and Safety budget category will be limited to 25 percent (25%) of the total program allocation.

### **III.4 Health and Safety**

See attachment.

### **III.5 Rental Procedures**

Rental dwelling units will not be weatherized without first obtaining the written permission of the owner of the dwelling unit, or the owner's agent.

In the case of multiple dwelling units, 66% of the residents (50% for duplexes and four unit buildings) must be income eligible in order that the entire structure may be weatherized. If fewer households than the required 66% (or 50% for duplexes and four unit buildings) are income eligible, only those units occupied by eligible households or those that will be occupied by eligible households within 180 days, may be weatherized. If the entire multi-unit dwelling is completely weatherized (i.e. the 'completed home' criteria is met for all the units), all units may be counted as completions.

In the case of a vacant rental dwelling, weatherization assistance may be provided if there is assurance that a low-income household will reside in the dwelling within 180 days of the date the weatherization service was completed.

Subgrantees will use an agreement, signed by the landlord, which states the following:

- The benefits of weatherization assistance shall accrue primarily to low-income tenants
- For a reasonable period of time after weatherization work has been completed on a dwelling, the tenants in that dwelling will not be subjected to rent increases because of the increased value of dwelling units due solely to weatherization assistance provided under this part.
- No undue or excessive enhancement shall occur to the value of the dwelling units.

In the event of a dispute between the tenant and the landlord regarding the issues listed above, the subgrantee will attempt to resolve the dispute; if that fails, the tenant will be referred to legal aid by the subgrantee.

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### STATE PLAN/MASTER FILE WORKSHEET (continued)

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Subgrantee contracts include the following provision:

- No dwelling unit will be served without prior written approval from the owner or rental agent. The benefits of weatherization assistance shall accrue primarily to the low-income tenants. For a reasonable period of time after weatherization work has been completed on a dwelling, the tenants in that dwelling shall not be subjected to rent increases because of the increased value of the dwelling due solely to weatherization assistance provided under this part. No undue or excessive enhancement shall occur to the value of the dwelling. In the event of a dispute between the tenant and the landlord regarding these issues, the subgrantee shall attempt to resolve the dispute. If the subgrantee is not able to resolve the dispute, the tenant shall be referred to legal aid.
- If a landlord is eligible for the program, the landlord is waived of the requirement to repair or replace unsafe heating systems and water heaters in the rental dwelling, up to the respective expenditure limits.

### III.6 Program Management

#### III.6.1 Overview

##### III.6.1 Organization

###### III.6.1.1 State Organization

The Weatherization Program is administered by the Bureau of Weatherization, which is in the Division of Community Action Agencies (DCAA), a division in the Department of Human Rights (DHR). The other bureaus in the DCAA are the Bureau of Energy Assistance, which administers the state's LIHEAP Program and the Bureau of Community Services, which administers the state's Community Services Block Grant. The local subgrantees that administer the LIHEAP Program and CSBG at the local level are, with one exception, the same subgrantees that administer the Weatherization Program at the local level. This allows the three bureaus to coordinate various activities and share information involving the subgrantees. For example, all three programs use one client application form.

The Bureau of Weatherization has responsibility for the following activities:

- DOE (DOE and LIHEAP-WX) Weatherization Program policy and procedure design and development
- Utility Program policy and procedure design and development
- State Plan development
- Program budget development
- DOE Weatherization Program and Utility Program contract preparation
- Subgrantee fiscal claim processing for DOE Weatherization Program and Utility Program
- DOE Reporting
- Design, development, and maintenance of Weatherization Computer System
- NEAT Audit
- Program monitoring
- House inspections
- Training
- Technical Assistance
- DOE Weatherization Program and Utility Program evaluation
- Financial monitoring findings resolution (assists)
- Financial audit findings resolution (assists)

DHR's fiscal bureau has responsibility for fiscal monitoring and reviewing subgrantees' annual audits.

###### III.6.1.2 Subgrantees

In accordance with 10 CFR 440.15, the formula used to allocate funds to subgrantees is based on the number of households at or below 200 percent of the poverty level (obtained from 2000 Census data) in each county in each subgrantee's service area, with the following adjustment:

A minimum funding level of \$230,000 (DOE and HEAP funds) is established. Agencies that receive the minimum funding level are supported by the agencies that receive a funding increase as a result of updating the formula using the 2000 Census data.

The subgrantees percentage allocation are shown on the attached spreadsheet.

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**STATE PLAN/MASTER FILE WORKSHEET (continued)**

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**III.6.2 Administrative Expenditure Limits**

In accordance with 10 CFR 440.18(d), not more than 10 percent of the DOE grant will be used by the state and the subgrantees for administration of the DOE funds. Also, not more than 5 percent of the grant will be used by the state for administration of DOE funds.

The State Energy Efficiency Programs Improvement Act of 1990 permits grantees the option of providing subgrantees who receive grants of less than \$350,000 up to an additional 5 percent administrative funds.

The Department of Human Rights has determined that eligible grantees will receive additional administrative funds. The rationale for providing the additional funds is that the client selection method used by the program results in an additional administrative burden on the subgrantees.

The client selection formula requires fuel consumption data as one of its components. This data must be obtained from fuel suppliers by the subgrantees. This can be very labor intensive, particularly if the data must be collected from deliverable fuel vendors. Some grantees, particularly those that are located in the rural areas of the state, have a large number of clients who receive fuel from small deliverable vendors. Those subgrantees must contact many vendors in order to obtain the required fuel consumption data.

Additional administrative funds will be allocated among qualifying subgrantees using a formula based on the following criteria:

- Half of the additional administrative funds will be allocated equally among all subgrantees
- The other half of the additional administrative funds will be allocated on the basis of the number of clients in each Subgrantee's service area who receive deliverable fuel as compared to the total number of clients in the state who receive deliverable fuel. This recognizes the additional burden those subgrantees have incurred in obtaining fuel consumption data from a multitude of deliverable fuel vendors. The allocation schedule for the additional administrative funds is shown below:

AGENCY	PERCENTAGE
Community Opportunities	6.4513 %
HACAP	5.1884 %
Iowa East Central T.R.A.I.N.	4.9143 %
MATURA	5.2353 %
MICA	5.2138 %
Mid-Sioux	4.9353 %
North Iowa	6.3288 %
NE Iowa	8.8873 %
Operation: New View	5.8813 %
Operation Threshold	4.1628 %
Polk County	3.2718 %
Red Rock	4.1288 %
Siouxland	4.7073 %
SCICAP	6.3793 %
SE Iowa	4.6358 %
SIEDA	7.0633 %
Upper Des Moines	6.5568 %
West Central	6.0583 %
Total	100.0000 %

**III.6.3 Monitoring Approach**

**III.6.3 Monitoring Approach**

**III.6.3.1 Overview**

Monitoring of subgrantees is done to evaluate subgrantee program and fiscal compliance and accountability with respect to program rules, regulations, policies and procedures and to ensure quality work with respect to the installation of weatherization measures in

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### STATE PLAN/MASTER FILE WORKSHEET (continued)

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dwellings. Technical assistance is provided to subgrantees as an integral part of monitoring. The monitoring process includes both in-house and on-site monitoring and inspections of houses that have been weatherized. All agencies are monitored annually. The on-site monitoring consists of reviewing both program and fiscal operations. Special emphasis is placed on problem areas noted in previous monitoring reviews or recently implemented program requirements.

When problems are noted, state staff attempt to make recommendations on how to correct the problem. State staff discuss the problem areas directly with the weatherization staff or fiscal staff and/or the subgrantee director, and give their recommendations for improvement. The monitors conduct an entrance interview, upon request, and an exit interview with agency staff and the agency director or designee.

Major findings are tracked to final resolution. The tracking record includes findings, recommended corrective actions, deliverables, due dates, action taken, and final resolution.

#### III.6.3.2 Inspections of Weatherized Homes

Inspections of weatherized houses are conducted for all subgrantees during the program year. Inspections will be completed on at least 5 percent of the houses completed.

The house inspectors monitor the quality of the subgrantees' evaluations and inspections as well as the quality of the work that was done to the house. Each house will be inspected for compliance with the following:

- Iowa Weatherization Program completion standards
- Quality of work
- Quality of materials
- Client health and safety
- Client satisfaction
- Quality of the final inspection
- Documentation

Houses are also inspected for missed energy efficiency opportunities. The inspectors check to ensure that no significant energy efficiency measures were overlooked.

Inspection reports are completed on each house and sent to the subgrantee within 30 work days of the date of the inspection. If the inspection report requires corrective work by the subgrantee, the corrective work must be completed within 45 days of receiving the report. The subgrantee must send a written response to the DCAA documenting that all the corrective work was completed, or reasons why it could not be completed. The written response is due within 45 days of receiving the inspection report from the DCAA. If serious quality of work problems are found, the state may inspect up to 100% of a subgrantee's production until work quality improves. Funding may also be suspended until proper remedies have taken place.

The housing inspectors offer the subgrantees the opportunity to send their staff on some of the housing inspection trips.

Feedback from the housing inspectors about general problem areas is used to develop additional training.

#### III.6.3.3 Monitoring of Program Operations

The monitoring of program operations is performed using both on-site and in-house reviews. Limited focused program monitoring may also be conducted. If a subgrantee had no major program monitoring findings, the state may, at its discretion, choose not to conduct monitoring of the subgrantee's program operations the following year. This allows more time for state monitors to provide technical assistance and to conduct multiple reviews of subgrantees that had major findings or have a new program manager.

Monitoring of program operations will include, at a minimum, the following:

- Review of client/house and contractor files to ensure compliance with documentation requirements
- Review of NEAT Audit reports
- Review of required health and safety documentation
- Review of contracts to ensure compliance with requirements
- Review of contractor insurance coverage
- Review of subgrantee bid procedures
- Determination of compliance with client priority and client service by county
- Review of timeliness and accuracy of monthly fiscal and data reports
- Review of general management and administrative practices

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State monitoring staff will conduct an exit interview with the subgrantee to discuss observations and findings from the on-site review. Written program monitoring reports will be sent to the subgrantee within 30 work days of the review. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the program monitoring report requires a response, the subgrantee must respond, in writing, to the DCAA within 45 days of receiving the report. A subgrantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the PMC describing the problems at the agency. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from subgrantee monitoring will be tracked by the state to final resolution.

#### **III.6.3.4 Monitoring of Financial Operations**

Each monitoring review will be performed using both in-house and on-site reviews. In-house fiscal monitoring consists of reviewing subgrantees' monthly fiscal reports and their most recent annual financial audits. On-site monitoring consists of reviewing fiscal operations for compliance with rules and procedures.

Fiscal monitoring will include, at a minimum, the following:

- Review the subgrantees' procedures manual
- Review the checking account procedures
- Review the use of indirect cost pools
- Verify cash on hand with that reported on financial report
- Verify insurance coverage
- Review and verify a sample of voucher payments
- Review bank statements and journal entries
- Review administrative charges
- Review internal control procedures

State monitoring staff will conduct an exit interview with the subgrantee to discuss observations and findings from the on-site review. Written fiscal monitoring reports will be sent to the subgrantee within 30 work days of the review. The report will include any findings, recommendations for improvements, and corrective action that needs to be taken. If the fiscal monitoring report requires a response, the subgrantee must respond, in writing, to the DCAA within 45 days of receiving the report. A subgrantee's failure to resolve noncompliance findings within 45 days from the date of the report may result in notice being sent to the PMC. If significant problems are discovered during the monitoring process, funding may be placed under probationary status until the problems are resolved. Major findings from subgrantee monitoring will be tracked by the state to final resolution.

#### **III.6.3.5 In-House Monitoring**

The DCAA reviews monthly financial and data reports from the subgrantees to ensure the subgrantees are on schedule to spend their funds and to check for unusual charges. Neat Audit results may be monitored to ensure the subgrantees are correctly using the audit.

#### **III.6.3.6 Subgrantee Assessment**

The DCAA will review the results of each subgrantees' fiscal and program monitoring and house inspection results and findings annually to assess each subgrantee's needs, strengths, and weaknesses. The assessment will be used to determine future training and technical assistance needs for particular subgrantees or for all subgrantees.

### **III.6.4 Training and Technical Assistance Approach**

#### **III.6.4 Training and Technical Assistance Approach**

##### **III.6.4.1 Overview**

The state believes training and technical assistance play a major role in developing and maintaining a quality weatherization program. Due to the evolutionary and complex nature of residential energy efficiency and the turnover in subgrantee staff and contractors, training and technical assistance must be provided on an on-going basis.

The state uses a variety of approaches in providing training and technical assistance to the subgrantees. Meetings are held to discuss administrative, fiscal, program, and technical issues. Technical training is provided at formal training sessions and on-site. State staff attend the subgrantees' program managers' and fiscal officers' meetings to discuss program, technical, and fiscal issues. State staff provide technical assistance during on-site monitoring and house inspections. All of these approaches have proven to be effective in providing training and technical assistance to the subgrantees.

##### **III.6.4.2 Training and Technical Assistance Needs Assessment**

The following methods are used to assess subgrantee technical assistance and training needs:

- Subgrantees are asked to identify statewide and individual subgrantee technical and administrative training needs during the



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annual monitoring visits.

- In-house and on-site program and fiscal monitoring of the subgrantees is used to identify administrative, programmatic, and fiscal technical assistance and training needs.
- On-site inspections of completed homes are used to identify technical training needs.
- Monitoring the productivity of subgrantees is used to identify agency specific technical or programmatic technical assistance needs.
- Annual evaluations of the Iowa Weatherization Program are used to identify technical training needs.

**III.6.4.3 Training**

The training of subgrantees is done through subgrantee-specific training and also through regional or statewide training sessions. The state's policy, with respect to technical training, is to be responsible for all training for auditors by either providing the training directly or providing training that is provided by an outside contractor. The state believes this practice best assures the standardization of weatherization procedures and practices throughout the state.

The state provides subgrantees with non-DOE funds that can be used for crew/contractor training and to obtain other weatherization-related training.

The state does not require certification of subgrantee auditor or crew workers prior to hire. All crews and contractors are required to have training in lead paint safe work practices. All auditors are required to have the following training: Basic Evaluator, NEAT and MHEA Audit, Lead Safe Work Practices, State Safe Work Practices, Basic Furnace, Mold/Moisture/Ventilation/BTL, Advanced Blower Door/Zonal Pressure Diagnostics, and Combustion Health & Safety.

The state reimburses subgrantees for travel, meals, and lodging when attending state-sponsored training.

**III.6.4.4 Technical Assistance**

Technical assistance is provided to subgrantees during on-site visits, at state meetings, at subgrantee program director and fiscal officers' meetings, and through the issuance of letters and technical bulletins. Technical assistance is also provided throughout the year by all state weatherization staff through phone calls and emails from local agencies. The state office also uses a weatherization website and newsletter as a way of providing technical assistance to the local agencies. In addition to containing statewide program information and materials, the website also contains examples of local agency internal management tools that other agencies may want to use.

**III.6.4.5 Subgrantee Productivity and Energy Savings**

The state collects and monitors subgrantee productivity on a monthly basis. Concerns about productivity with specific subgrantees are discussed with those subgrantees. The state conducts annual evaluations of the Weatherization Program that calculates energy savings achieved by each sub-grantee. Results of the productivity monitoring and the energy savings analysis are used to determine subgrantee-specific training and technical assistance needs.

**III.6.4.6 Effectiveness of State T&TA Activities**

The effectiveness of T&TA activities is determined through feedback on technical training, discussions with program and fiscal monitoring staff, discussions with house inspectors, and feedback from subgrantees during on-site visits and state meetings.

**III.6.5 Energy Crisis Plan**

If the President or the Governor of the State of Iowa declares a Federal or State Emergency for areas of the state due to a natural disaster, the DCAA will submit a summary disaster plan to the DOE Project Manager Center requesting approval to allow local agencies within those affected areas to use existing resources to address the needs of the people in the area.

## State Plan/Master File Worksheet - (Attachment)

**III.4 Health and Safety**

The Weatherization Program's mission is to enhance the well-being of low-income residents, particularly those persons who are most vulnerable such as the elderly, the handicapped, and children, through the installation of energy savings and energy-related health and safety measures, thus benefiting clients through reduced energy bills, enhanced comfort, and the mitigation of energy-related health risks. It is **not** the mission of the weatherization program to mitigate every health and safety issue in the home, only those related to energy conservation measures may be mitigated.

**I. General****A. Grantee Health & Safety**

State staff, whose responsibilities include going to clients' homes, will receive necessary training on health and safety issues that may affect them and the clients. State staff will have equipment, such as personal carbon monoxide detectors, that protect them from health and safety hazards. They will also have equipment necessary to test clients' homes for health and safety hazards. The costs of such training and equipment will be charged to the state administration and/or training and technical assistance cost categories.

**B. Local Agency Health and Safety**

Agencies must comply with Occupational Safety and Health Administration (OSHA) requirements in all activities. This is an agency responsibility, as OSHA requirements apply to all agency personnel - not just weatherization. The portion of OSHA standards which apply to weatherization field staff can be found in Construction Industry OSHA Safety and Health Standards (29 CFR 1926/1910). A Health and Safety Plan should be developed by each agency, using agency specific information.

Because of the wide range of activities involved in weatherizing a house, ensuring crew health and safety requires a broad knowledge of the appropriate OSHA requirements. Some of these requirements include, but are not limited to: personal protective equipment, techniques for safe lifting, electrical equipment safety, ladder safety, and general worker protection. OSHA standards should be consulted for further details. OSHA Standards can be obtained by contacting:

Iowa Division of Labor  
1000 East Grand  
Des Moines, Iowa 50319

Local agencies must have a written safety plan in effect. A copy of the safety plan must be provided to each weatherization worker. All weatherization workers must receive orientation training on the agency's safety plan.

Local agencies must provide personal protective equipment to weatherization workers on operations in which there is a known hazard. Personal protection equipment includes, but is not limited to, eye and face protection and respirator protection. The agency is responsible for requiring the wearing of appropriate personal protective equipment in all operations where there is an exposure to hazardous conditions.

Crew based agencies must have Material Safety Data (MSD) Sheets on all weatherization materials used by their crews on file at the agency. MSD Sheets can be obtained by requesting them from the material supplier or by contacting the manufacturer of the material. Contractor based agencies should stipulate in their contracts with contractors that the contractors will be responsible for supplying Material Safety Data Sheets to the agency upon request by the agency.

HEAP Equipment/Training funds may be used for weatherization-related OSHA compliance and other weatherization-related health and safety training.

**C. Contractor Health and Safety**

Contractors, employed by local agencies, are also expected to comply with OSHA requirements.

**II. Health and Safety Assessment**

While the primary purpose of the Weatherization Program is to reduce energy use in dwellings, it is important to ensure the completed energy efficiency work does not create a health and safety problem or exacerbate an existing health and safety problem in the dwelling. Before beginning any work on a home, agencies must complete the Iowa Weatherization Program health and safety assessment, which consists of identifying any health or safety problems that may pose a threat to the occupants and/or workers and any problems that need to be corrected before weatherization activities can be started. Agencies must also notify owners and occupants of visual assessment

## State Plan/Master File Worksheet - (Attachment)

findings and obtain the release of liability.

The health and safety assessment includes, but is not limited to, addressing the following:

- Client informed consent process
- Combustion appliance testing, including:
  - Carbon monoxide test
  - Spillage and draft test
  - Temperature rise and static pressure test
  - Proper venting size, configuration, and condition
  - Gas leaks
- Moisture and mold assessment
- Lead paint
- Slate siding
- Unsanitary conditions
- Electrical hazards
- Fire hazards
- Friable asbestos
- Building structure to ensure a safe working area
- Garage leakage test in homes with an attached or tuck-under garage
- Building tightness limits and depressurization tightness limits

Health and safety problems found during the health and safety assessment will result in the agency taking one of three actions

1. If the problem will not prevent the dwelling from being weatherized and installing weatherization measures won't exacerbate the problem, the agency can proceed with weatherizing the dwelling but should notify the client of the problem.
2. If the problem must be remedied before weatherization measures can be installed, the agency must determine if the program can remedy the problem or if the client or landlord will have to correct the problem. If the program can remedy the problem, weatherization can proceed once the agency has corrected the problem.
3. In those cases where the client or landlord is responsible for correcting the problem, the agency must ensure the client understands either he/she or the landlord is responsible for correcting the problem before weatherization can begin. The agency must notify the client of the problem regardless of who is responsible for correcting it.

Health and safety testing must also be repeated after weatherization to ensure the activities did not create a health and safety problem in the home. Program funds may be used to conduct the assessment and testing, and to abate certain health and safety problems.

**It is very important for the agency to document any health and safety problems and any problems or conditions which could result in health and safety problems. Documentation must include photos. Good documentation can protect the agency from claims made by clients that the work done by or on behalf of the agency caused a health and safety problem.**

#### A. Client Informed Consent

Because it is possible weatherization activities could have an adverse effect on an occupant's health, it is important clients provide an "informed consent", consenting to the weatherization activities before they are started. Agencies must inform all clients weatherization activities can release dust and dust-like particles in the air. Occupants with certain health conditions could have those conditions aggravated by the dust and dust-like particles and should be out of the house when insulation is being blown. Health conditions aggravated by dust include:

- Asthma
- Emphysema
- Allergies
- Respiratory problems
- Pregnancy
- Decreased immune function
- Other serious health conditions

It is also recommended infants less than 12 months old should be out of the house when blown insulation is being installed.

Persons who leave the dwelling during the insulation process should remain outside the house for at least 30 minutes after completion of the insulation activities.

## State Plan/Master File Worksheet - (Attachment)

Clients are required to sign a **Release of Liability and Waiver of Claims** (Release of Liability) Form informing them of this. The consent form should be signed before the dwelling is evaluated. If the client refuses to sign the form, no work will be completed on the home and it will be closed incomplete. The original of the signed Release of Liability Form must be in the client file, and the copy will be left with the client.

The Release of Liability and Waiver of Claims is a 2-part NCR form that is provided by the Weatherization Program. A sample can also be found in the Forms section of the Weatherization General Appendix as well as on the Members Only section of the Weatherization webpage.

The Release of Liability Form is important because it documents the client has been informed weatherization activities could result in airborne particles being released in the home which could aggravate a health condition of the occupants in the home. It also documents the client authorized the agency to weatherize the home.

If a client is not available to sign the Release of Liability Form when the evaluator arrives to conduct the evaluation of the home, the evaluator may proceed with the evaluation. However, the evaluator must leave a copy of the Release of Liability Form, a return envelope, and instructions to the client that no work will be done on the home until the client signs the form and returns it to the agency.

The Release of Liability Form is available on the State of Iowa Weatherization Members Only web page as well as in the Forms section of the Weatherization General Appendix.

#### B. Health & Safety Assessment Findings Form

The Health and Safety Assessment Findings Form, Parts 1 & 2 must be used by agencies to document certain health and safety problems identified in the dwelling and to document the results of certain safety tests.

If the health and safety problem has to be remedied before weatherization measures can be installed, and the program allows for the remediation by the agency, the health and safety problems must still be documented on the Health and Safety Assessment Form. In this case, the client must be informed of the problem but the client is not required to sign the form. The agency may, if it wishes, provide a copy of the form to the client. The original form must be filed in the client file.

The Health & Safety Assessment Findings Forms Part 1 and 2 are a 2-part NCR form that are provided by the Weatherization Program. A sample can also be found in the Forms section of the Weatherization General Appendix as well as on the Members Only section of the Weatherization webpage.

If a health and safety problem is identified by the agency but the problem will not prevent the dwelling from being weatherized and installing weatherization measures won't exacerbate the problem, the agency can proceed with weatherizing the dwelling but should notify the client of the problem. Agencies must document these problems on the Health and Safety Assessment Form.

If the health and safety problem has to be remedied before weatherization measures can be installed, and the program does not allow for the remediation by the agency, the client or landlord is responsible for remediation of the problem. The client or landlord must remediate the problem before weatherization activities can begin. In this case, the health and safety problems must be documented on the Health and Safety Assessment Form and the client must sign the form. Any time the column for landlord/client correction is checked, the client must sign the form. A copy of the form must be given to the client and/or landlord and the original signed form must be filed in the client file.

If existing mold is found in the home, the agency must document this on the Health and Safety Assessment Form 2 and with photos and indicate whether the mold must be cleaned up by the client/landlord before weatherization can proceed. The agency must also inform the client of the existing mold, have the client sign the Health and Safety Assessment Form, and give the client a copy of the form.

**Health and Safety Assessment Form**

H & S Problem is Found	Notify Client	Client Signature on Assessment Form	Evaluator Signature on Assessment Form	Give Client a Copy of the Assessment Form
Problem needs to be remedied before WX. Program funds can't be used on problem.	Y	Y	Y	Y
Problem need to be remedied before WX. Program funds can be used on problem.	Y	N	Y	Recommended

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Problem does not have to be remedied before WX work can be done.	Recommended	N	Y	Recommended
Existing mold is found in home.	Y	Y	Y	Y

**III. Health and Safety Issues and Measures****A. Combustion Appliances**

The following combustion appliance testing is done both prior to the start of any weatherization work and again after the work is completed (pre- and post-weatherization).

For combustion furnaces, boilers, water heaters, cook stoves, space heaters, and gas fireplaces:

- Carbon monoxide levels under worst-case condition
- Spillage of combustion gases and proper drafting under worst-case condition
- Existence of gas leaks
- Proper venting size, configuration, and condition

For combustion furnaces and boilers:

- Temperature rise and static pressure testing

The Iowa Weatherization Program has established maximum acceptable carbon monoxide levels for various types of appliances. Carbon monoxide problems (exceeding the maximum acceptable level) must be corrected before any work is started on dwellings. Carbon monoxide readings and draft test results must be recorded on the Health and Safety Assessment Findings Form. The temperature rise results must be documented in the house file.

Carbon monoxide alarms are installed in the following situations:

- When a "walk away" occurs from a dwelling that contains an unsafe combustion appliance(s), including furnaces, water heaters, stoves, and ovens.
- When a combustion appliance is putting off carbon monoxide at an unacceptable level and the appliance either cannot be immediately be repaired/replaced or cannot be repaired/replaced by the program.
- When a water heater has minimal draft and/or has very slight spillage and no carbon monoxide is being produced (until the problem is repaired).
- When a dwelling that has been weatherized contains a fireplace or wood burning stove which draws combustion air from inside the dwelling.
- When there is an attached or tuck-under garage that is used.

Furnaces and water heaters are checked to ensure they are safe. Depending on circumstances, unsafe furnaces and water heaters may be repaired or replaced using program funds. All furnace work must be performed by a qualified, furnace technician, or trained agency personnel in conformance with ANSI Z223.1-1999 (same as NFPA 54-1999) including Appendix H and shall be done within program spending limits. Gas clothes dryers are checked to ensure they are vented to the outside. All dryers must be vented completely outside prior to beginning weatherization work. Dryers must not be vented into a crawlspace or attic.

During the heating season, no weatherization work may be done until a non-operational or hazardous primary heating unit is repaired or replaced.

All unvented fuel-fired heating units which cannot be vented must be removed or replaced with properly vented units. No weatherization work can be completed until the problem is corrected. When a new space heater is installed, the agency must insure an operable smoke alarm exists.

Pre- and post-weatherization baseline pressure readings are taken of the combustion appliance zone with reference to the outside.

Chimneys and flues for wood stoves and gas/oil appliances are inspected to ensure they are in good condition and are free of obstructions.

Refer to the Work Standards for detailed combustion appliance testing procedures, venting guidelines, and maximum allowable carbon monoxide levels.

**B. Moisture and Mold**

All homes must be inspected for previous and existing moisture problems and for conditions that could lead to future moisture problems. Homes must also be inspected for existing mold. The Health and Safety Assessment Findings Form, Part 2 (a moisture/mold checklist) is used by all agency evaluators to document existing

## State Plan/Master File Worksheet - (Attachment)

moisture and mold problems. Photos must also be taken of existing mold. The original Health and Safety Assessment Findings Form, Part 2 and the photos must be filed in the client/house file.

For other important information about mold and moisture, refer to Subsection III.B.3

### 1. Moisture Assessment

One of the worst indoor air quality problems is too much moisture (humidity) in a home. Too much moisture may result in moisture penetration, condensation, and build-up in walls and ceilings. Moisture accumulation may damage a house by causing wood rot. Too much indoor moisture (humidity) can also lead to the growth of mold and mildew which can cause adverse health effects to the occupants.

Some moisture is needed in a home. The lack of sufficient moisture in winter air can irritate noses and cause drying of the skin. The ideal indoor relative humidity during the heating season in Iowa ranges between 30 and 50 percent.

#### a. Moisture Problem Symptoms and Sources

As the moisture assessment is conducted, evaluators use the following symptoms to find potential moisture problem areas:

- Damp atmosphere and/or musty smell in house, basement, or crawlspace
- Client complaint of allergy-like symptoms
- Mold growth on walls and ceilings, especially in rooms with high moisture loads, such as bathrooms and kitchens Mold in corners or at the wall/ceiling junction (top plate)
- Mold growth on attic roof sheathing.
- Signs of condensation on walls or windows
- Water damage or mold on the underside of roof decking
- Evidence of crawlspace moisture
- Peeling paint, particularly on bathroom and kitchen walls
- Rusted metal in basements, crawlspaces, bathrooms, and kitchens
- Efflorescence (white, powdery deposits) on concrete or masonry surfaces
- Water stains on foundation walls

When a moisture problem is identified, evaluators must determine the cause of the problem and then determine a solution for mitigating the problem.

The following table references moisture problems, the potential causes of those problems, and solutions for mitigating the problems. Following the table is a more detailed explanation of ways to solve moisture problems.

Moisture Problems	Causes	Solutions
Attic Condensation	<ul style="list-style-type: none"> <li>• The stack effect • Plumbing, wiring and mechanical penetrations • Recessed lights • Hi-power roof exhaust fans</li> <li>• Vapor barrier voids • Compressed insulation • Kitchen and bath fans exhausting into attic • Leaky attic HVAC ductwork</li> <li>• Excessively humid conditioned space below • Uninsulated ductwork • Insufficient or poorly installed insulation</li> </ul>	<ul style="list-style-type: none"> <li>• Attic air sealing • Moisture control in conditioned space below • Install appropriate insulation • Air-recessed lights • Air-tight ductwork • Ducted exhaust fans to outdoors</li> </ul>
Wet Walls/Ceilings	<ul style="list-style-type: none"> <li>• Wind-driven rain • Flood, fire, plumbing break or other water disaster • Capillary openings between siding units</li> <li>• Contact with damp soil or masonry • Deteriorated window flashing and caulk • Vapor barrier penetrations • Cold interior wall surfaces • Improperly installed flashing • Lack of insulation over top plate • Insufficient or poorly installed insulation</li> </ul>	<ul style="list-style-type: none"> <li>• Proper air sealing of exterior walls • Minor plumbing repairs • Insulation • Properly install flashing • Insulation over top plate</li> </ul>
Roof Leaks	<ul style="list-style-type: none"> <li>• Complex rooflines • Poor selection of roofing material</li> <li>• Old or worn roofing • Ice dams • Improperly installed flashing</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriate insulation to correct ice dams</li> <li>• Installation of gutters • Minor roof repairs • Black</li> <li>• Properly install flashing</li> </ul>

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Wet Basement	<ul style="list-style-type: none"> <li>• Plumbing • Plugged drains • Leaky foundation • Furnace condensation line • Washer draining on floor • Open sump basket • Poor grading, gutters, sidewalk/driveways sloped toward foundation</li> </ul>	<ul style="list-style-type: none"> <li>• Minor plumbing repairs • Foundation caulk/concrete</li> <li>• Grading/banking • Furnace repair • Installation of gutters • Sump pumps and covers • Dehumidifiers</li> </ul>
Crawlspace	<ul style="list-style-type: none"> <li>• Leaky foundation • Lack of vapor retarder</li> </ul>	<ul style="list-style-type: none"> <li>• Install vapor retarder • Foundation caulk/concrete</li> <li>• Installation of gutters • Sump pumps and covers • Dehumidifiers</li> </ul>
Window Condensation	<ul style="list-style-type: none"> <li>• High humidity level</li> </ul>	<ul style="list-style-type: none"> <li>• Lower humidity level</li> </ul>
Indoor Air Quality/High Indoor Humidity	<ul style="list-style-type: none"> <li>• House too tight • Lack of or inoperable exhaust fans • Pressure imbalances • Unvented space heaters/appliances • Improper drafting of appliances • High moisture content • Hang-drying clothes inside house • Drying wood inside house • Excessive plants • Aquariums • Excessive showering • House over-crowding • Humidifiers • Boiling water to use for cooking</li> </ul>	<ul style="list-style-type: none"> <li>• Exhaust fans/ dehumidifiers • Remove unvented space heaters • Vent dryers outside • Client education on moisture problem causes • Pressure balancing • Removal of high moisture items</li> </ul>

**b. Moisture Problem Solutions**

Identifying and solving the source of moisture problems should be the first priority when a moisture problem is found. Following are possible solutions to moisture problems.

**1) Mechanical Ventilation**

One of the main strategies for solving moisture problems in a home is effective mechanical ventilation. Installing intermittent or continuous ventilation is allowed. Moisture problems may be reduced or eliminated by ventilating areas that routinely generate large moisture loads such as bathrooms and kitchens.

Clients should be reminded of the importance of using kitchen exhaust fans while cooking and the importance of using bathroom exhaust fans after showers or baths. Clients should also be educated about the proper operation and use of the fans.

Refer to the Work Standards for detailed guidance and procedures on mechanical ventilation.

**2) Site Drainage**

Poor site drainage is often the reason for wet foundations, basements, crawlspaces, and slabs. The ground around the foundation of the house should be sloped away from the house so water runs away from the house and not toward it. Ideally, the ground adjacent to the foundation should slope away from the house at a minimum 5 percent (Six inches of fall in the first 10 feet).

Check for the following site drainage situations:

- Does the site direct rain and snow melt toward the foundation rather than away from it?
- Are there depressions in the ground close to the house where water can collect?
- Are sidewalks or paved driveways sloped so they direct water toward the foundation rather than away from it?
- Does the house have an effective gutter/downspout system that collects and drains rain water away from the foundations?

Agencies may improve grading around foundations as a General Health and Safety Repair, as long as the cumulative cost of the grading and any other general health and safety repair does not exceed the General Health and Safety Repair limit.

**State Plan/Master File Worksheet - (Attachment)****3) Gutters and Downspouts**

Gutters and downspouts can be an important part of solving a site drainage problem. They collect and drain rain water away from foundations. Agencies should note if the house has an existing effective gutter/downspout system. If the gutter system is in good condition, but is clogged with debris, they may be cleaned by the program if client is physically unable to do the job and all other options (such as family or chore services) have been exhausted. The cleaning can only be done at the time of weatherization services and cannot be repeated as needed.

If gutters/downspouts are missing or are severely damaged, the agency may install or repair existing gutters/downspouts as a General Health and Safety Repair, as long as the cumulative cost of the gutter/downspouts and any other general health and safety repair does not exceed the General Health and Safety Repair limit.

**4) Plumbing Repair**

Leaking water pipes and sewer lines may cause moisture problems within the house. Minor repairs may be made to water pipes and sewer lines as a General Health and Safety Repair, as long as the cumulative cost of the plumbing repair and any other general health and safety repair does not exceed the General Health and Safety Repair limit. Cleanup of any unsanitary conditions due to plumbing leaks is the sole responsibility of the client.

**5) Sump Pumps**

Sump pumps may be installed to control water in lower levels of the home. Pumps may be installed as a General Health and Safety Repair, as long as the cumulative cost of the pump installation and any other general health and safety repair does not exceed the General Health and Safety Repair limit. Sump pumps must be installed to meet manufacturer's instructions and all local codes.

**6) Dehumidifiers**

Dehumidifiers may be installed, with client permission, to help control humidity in basements during summer months in homes with existing mold or moisture problems. All moisture source control methods must have been exhausted before installing a dehumidifier. Explain to the client that the dehumidifier might result in an increase in electric usage. Dehumidifiers must be ENERGY STAR® rated and installed to drain properly. If a drain does not exist, a dehumidifier may be installed by utilizing a condensation pump to an existing drain or sewer line. In this case, the dehumidifier must be put up on blocks to allow for drainage. Educate the client on proper usage of the dehumidifier including settings and summer/winter use.

Dehumidifiers may be installed as a General Health and Safety Repair, as long as the cumulative cost of the dehumidifier and any other general health and safety repair does not exceed the General Health and Safety Repair limit.

**7) Attic Bypass Sealing**

Attic bypass sealing must be done on all homes, even if the house is below the Overall Tightness Limit (OTL). One of the most important benefits of attic bypass sealing is that it prevents the migration of moisture into the attic where it could cause ice damming, wood rot, and mold growth. Refer to the Work Standards for details on attic bypass sealing.



**State Plan/Master File Worksheet - (Attachment)****8) Crawlspace Ground Moisture Barrier**

Crawlspace moisture can lead to condensation, mold, and rot. Air passing through the soil can contain radon and pesticides. It is important to prevent the moisture (water vapor), radon and pesticides (soil gasses) from entering the house. This can be done by covering the crawlspace ground with an airtight moisture barrier which establishes an air barrier and seals out water vapor and soil gasses. Refer to the Work Standards for details on installing moisture barriers.

**9) Incidental Repairs**

Incidental repairs are defined as repairs necessary (1) for the installation of weatherization measures and (2) to maintain the integrity of weatherization materials. Certain incidental repairs are allowed by the program but the repair cost is limited to what is allowed by the NEAT Audit's Savings to Investment Ratio (SIR). Refer to the Work Standards for more information about this.

Repair or replacement of missing or deteriorated windows that allow moisture or water to enter the house can be done but the cost is limited as described above. Minor roof and foundation repair may be done to prevent moisture or water from entering the house. The cost of those repairs is limited as described above.

**10) Client Education**

Agencies should always provide general education to clients about problems that can occur due to high indoor moisture levels or actual moisture penetration and how client practices can lead to moisture problems. It would be beneficial to explain to the client what relative humidity levels should be maintained in the house.

It is particularly important for agencies to provide moisture education to clients if they identify client practices that have resulted in, or could result in, high moisture levels in the home. Following are client practices that can have an effect on the moisture levels in homes. Agencies should discuss these things with clients.

- Use kitchen exhaust fans when cooking
- Use bathroom exhaust fans when bathing and showering
- Open closet doors and move furniture away from outside walls to allow for more air circulation
- Do not over-use humidifiers
- Do not have too many plants
- Do not have uncovered aquariums
- Do not store firewood indoors
- Do not cover windows with plastic
- Keep gutters clean
- Fix leaky plumbing

**c. If Moisture Problems Cannot Be Resolved**

If moisture problems in a house are so severe they cannot be resolved under existing allowable health and safety measures and repair allowances, agencies must explain to the client that weatherization measures that could make the situation worse (e.g. attic and wall insulation and high-

**State Plan/Master File Worksheet - (Attachment)**

efficient furnace installation) cannot be done until the moisture and mold situation is remedied by the client (or landlord). Weatherization measures that will not disturb the mold or exacerbate the existing moisture problem will be completed.

**2. Mold Assessment**

All homes must be visually inspected for existing mold. Although the entire house should be inspected for mold, particular attention should be paid to the following areas: bathrooms, kitchens, laundry areas, basement walls, ceilings next to exterior walls, attics, and crawlspaces. The mold assessment should be done the same time the moisture assessment is performed. Agencies must document any existing mold that is found. The Health and Safety Assessment Findings Form, Part 2 must be used to document existing mold. Photos must also be taken of existing mold. The Health and Safety Assessment Findings Form, Part 2 and the photos must be filed in the client/house file. The reason existing mold must be documented is to have proof that the mold was pre-existing and that weatherization did not cause it.

Sometimes what may look like mold may actually be water stains. If there is uncertainty as to whether a spot that looks like mold is actually mold rather than a water stain, a couple of drops of household bleach can be dropped on the stain. If the spot is mold, the bleach will cause it to lose its color or disappear. If there is no change in the appearance of the spot, the spot probably isn't mold.

Evaluators must also inform the client of any mold that is found and the location of the mold. Evaluators should explain to clients that he/she is not a mold expert, that the mold assessment was a visual assessment only and that no testing for mold was done.

For additional information about mold, see Subsection III.B.3.

**a. Mold Remediation**

Controlling moisture is the key to controlling mold because mold cannot grow without moisture. If mold is found in a home, there has to be a moisture problem (excessive humidity or water intrusion) that caused the mold. Therefore, the moisture problem must be solved before the mold problem is dealt with. It does no good to clean-up mold without solving the underlying moisture problem. When mold is found in a home, the first strategy in remediating it is to find the moisture problem that is causing the mold and correcting it, if possible.

If the evaluator determines the moisture problem can be solved satisfactorily, there are three (3) options regarding the mold that are possible:

- The agency may determine that the mold will not be disturbed by weatherization activities; therefore, weatherization work can proceed without the need for remediating the mold.
- The agency may clean-up the mold and then proceed with weatherization work.
- The agency can defer any work on the home until the mold is remediated by the client or landlord. This would be the situation if there large areas with mold growth.

If the evaluator determines the moisture problem cannot be satisfactorily eliminated, weatherization work must be deferred and the house closed incomplete.

**b. Mold Clean-up**

If the work can be completed without disturbing mold/mildew, cleanup is not required, but may be completed at the discretion of the evaluator within the program cost limits. If cleanup is completed, the following cleanup procedures must be followed. These procedures for the remediation of building materials that contain mold or will likely contain mold are from the U. S. Environmental Protection Agency (EPA) and New York City Department of Health Bureau of Environmental and Occupational Disease Epidemiology. The procedures are designed to protect the health of the occupants and cleanup personnel during remediation. These procedures are based on the area and type of material affected by water damage and/or mold growth. Visual documentation, such as pictures of the red flag situations, should be taken before and after the remediation process and kept in the client file.

**State Plan/Master File Worksheet - (Attachment)**

The use of a biocide, such as sodium hypochlorite (chlorine bleach), is necessary to clean mold. Clean up procedures include:

- The area being cleaned needs to be ventilated to the outdoors.
- Bleach should be mixed with water in a 1/10 ratio (one cup bleach in 10 cups water).
- The area should be scrubbed with a brush and the bleach mixture and left on for 15 minutes
- The area should be rinsed and dried after 15 minutes

Other biocides may be used according to manufacturer's instructions. (Never mix chlorine bleach with ammonia or cleaning solutions that contain ammonia because toxic fumes can be produced.) Non-porous (e.g. metals, glass, and hard plastics) and semi-porous (e.g. wood and concrete) materials that are structurally sound and visibly moldy can be cleaned and reused. Porous materials (e.g. ceiling tiles, insulation, or wallboard) that can be cleaned can be reused. Some porous material cannot be cleaned and should be discarded.

**Small Isolated Areas (10 sq. ft. or less per affected area)**

Recommended personal protection:

- Respiratory protection (e.g. N95 disposable respirator), gloves, and goggles.
- The work area should be unoccupied.
- Containment of the work area is not necessary. Vacating people from spaces adjacent to the work area is not necessary but is recommended in the case of children less than 12 months old, persons recovering from recent surgery, immune suppressed people, and people with chronic lung diseases (e.g. asthma, severe allergies).
- The mold should be cleaned with a biocide.
- Discarded material should be put in a sealed plastic bag. There are no other special requirements for the disposal.

**Mid-Sized Isolated Areas (10 - 30 sq. ft. per affected area)**

Recommended personal protection:

- Respiratory protection (e.g. N95 disposable respirator), gloves, and goggles.
- The work area should be unoccupied. Vacating people from spaces adjacent to the work area is not necessary but is recommended in the case of children less than 12 months old, persons recovering from recent surgery, immune suppressed people, and people with chronic lung diseases (e.g. asthma, severe allergies).
- The work area should be covered with plastic sheets and sealed with tape before cleaning to contain any dust or debris.
- Misting surfaces (to suppress dust) should be done prior to cleaning.
- The work area should be HEPA vacuumed and the mold should be cleaned with a biocide.
- Discarded material should be put in a sealed plastic bag. There are no other special requirements for the disposal.

**Large-Sized Isolated Areas (30 - 100 sq. ft. per affected area)**

Recommended personal protection:

- Respiratory protection (e.g. N95 disposable respirator), gloves, and goggles.
- The work area and areas directly adjacent to the work area should be unoccupied.
- The work area should be covered with plastic sheets and sealed with tape before cleaning to contain any dust or debris.
- Heating/cooling system registers in the work area should be sealed with tape or other material.
- Misting surfaces (to suppress dust) should be done prior to cleaning.
- The work area should be HEPA vacuumed and the mold should be cleaned with a biocide.
- Discarded material should be put in a sealed plastic bag. There are no other special requirements for the disposal.

**Extensive Areas (greater than 100 sq. ft. per affected area)**

Personnel trained in the handling of hazardous materials should do the clean-up.

**3. Additional Moisture and Mold Information****a. Moisture**

Moisture or water vapor is carried in the air. For any volume of air, the amount of water vapor present depends upon the temperature. Warm air can hold more water vapor than cold air. The amount of moisture that air can hold, relative to the maximum it could possibly hold at a given temperature, is called relative humidity. Relative humidity can be measured in homes with a hygrometer. Humidity

**State Plan/Master File Worksheet - (Attachment)**

should be set at 30 to 50 percent during the heating system. When outdoor temperatures drop below 0° F., humidity levels can go to 20 percent humidity and still be comfortable, but special health problems may need higher humidity levels.

People create moisture simply by breathing, cooking, bathing, and laundering clothes. People also cause the creation of moisture in a home by using humidifiers, having uncovered aquariums, having several plants, and storing firewood inside. The table below shows how water vapor can be generated.

Because air tightening may cause an increase in relative humidity, agencies must take into consideration building tightness limits. Evaluators should educate clients about causes of indoor moisture and possible solutions.

The underlying reason for high humidity is the reduced amount of outside air circulation through the structure. The amount of air moving into and out of a structure is called natural ventilation. The amount of this ventilation is affected by temperature, wind speed, leakage area and open combustion devices, so it is always changing.

**b. Mold**

Molds are a type of fungi. Other fungi include mushrooms and yeasts. Their roles in nature are to biodegrade and recycle dead matter. They secrete digestive enzymes into their surroundings, and then absorb the digested material to fuel further growth. They can live on a wide variety of substances, including organic material, such as leaves, mulch and wood or building materials such as drywall, ceiling tile, vinyl flooring, wood, particleboard and carpet. The key ingredient for mold growth is moisture.

Mold produces tiny spores that are like small seeds. Spores can be released and carried by air and water to new locations. It is important to realize that mold spores are present everywhere, in outside air as well as indoor air. Everyday, people are exposed to airborne mold spores from outdoor sources, sometimes at high concentrations. Mold spores drift through the indoor and outdoor air continually. When spores land on a damp surface that has food and oxygen available, and if the temperature is right, they will start to grow. When excessive moisture or water accumulates indoors, mold growth will often occur, particularly if the moisture problem remains undiscovered or unaddressed. There is no way to eliminate all mold and mold spores in the indoor environment (mold is everywhere). However, the amount of indoor mold can be controlled by controlling indoor moisture.

The presence of mold in a dwelling does not mean workers or the occupants will have any health effects from it. There are no action thresholds established by regulatory agencies. Individuals have different sensitivity to mold exposure. Most people are not affected by exposure to mold unless they are exposed to high concentrations of it. Those who do have an allergic reaction to mold may only have "cold-like" symptoms such as a runny nose, sinus congestion, cough, sore throat, fatigue, and itchy eyes. Although there is documentation of severe health effects of mold in humans, most of the problems are derived from ingestion of contaminated foods or in agricultural settings where inhalation exposure was very high. Such high-level exposures are not expected to occur while performing weatherization work.

Exposure to mold will more likely result in severe reactions in persons with the following medical conditions.

- Decreased immune function.
- HIV/AIDS.
- Respiratory problems.
- Asthma.
- Emphysema.
- Severe allergies.
- Persons having undergone recent surgery.
- Infants less than 12 months old.
- Other serious health conditions.

**C. Lead Paint**

Lead is highly toxic, especially to young children. It can harm a child's brain, kidneys, bone marrow, and other body systems. At high levels, lead can cause coma, convulsions, and death. Even low levels of lead in infants, children, and pregnant women are associated with impaired cognitive function, behavior difficulties, fetal organ development and other problems. Low levels of lead in children can cause reduced intelligence and impaired hearing.

## State Plan/Master File Worksheet - (Attachment)

The most common source of lead exposure for children is lead paint in older homes and the contaminated dust and soil it generates. For this reason, it is very important weatherization work is completed in a lead-safe way.

### 1. Notification

All Weatherization Assistance Program activities involving renovation work on pre- 1978 target housing are subject to the provisions of the Federal Environmental Protection Agency (EPA) regulations requiring a notification be given to the occupants of the house informing them of the hazards of lead paint and the paint dust. The notification pamphlet must be provided to the owner or occupants of the home prior to commencing the work but not more than 60 days prior to commencing the work.

The lead paint notification requirement is an EPA requirement and is addressed in 40 CFR (Code of Federal Regulations) Part 745, titled, "Lead: Requirements for Hazard Education Before Renovation of Target Housing."

### 2. Lead Safe Work Practices

Any activity disturbing painted surfaces on residential structures built before 1978 may cause lead hazards. The Iowa Weatherization Program requires local agencies and their contractors to follow certain practices whenever lead-painted or presumed lead-painted surfaces are disturbed. These practices, known as lead-safe work (LSW) practices, are ways to minimize and contain lead hazards inside a work area (also known as containment) when disturbing lead-based or presumed lead-based paints and coatings. Lead safe work practices are designed to protect clients and workers and must always be used when working on residences built before 1978. Refer to the Weatherization General Appendix for more detailed information concerning the notification requirement and lead safe work practices.

All crew workers and contractors are trained on lead safe work practices, in accordance with the LSW practices developed by the Iowa Department of Public Health. The training is designed for workers who perform paint stabilization, interim control, or standard treatment for federally assisted activities pursuant to 24 Code of Federal regulations (CFR) Part 35. The training meets the performance standard of HUD's Lead Paint Regulation 24 CFR Part 1330 (a) (4). The training does not train workers to perform lead paint abatement. LSW practice training is provided to crew workers and contractors annually.

The Occupational Safety and Health Administration (OSHA) has regulations governing work involving lead containing material. Included in the regulations are action levels and permissible exposure limits (PEL) for exposure to lead concentrations. An exposure in excess of the PEL requires the use of safety equipment such as respirators.

The Weatherization Program does not allow funding for lead-base paint abatement. Agencies must defer weatherization work on homes that need lead paint abatement.

### D. Slate Siding

Slate siding and insul-brick siding are considered presumed asbestos containing material (PACM) because some of it contains asbestos. The asbestos in slate siding and insul-brick siding is non-friable as long as the siding remains intact. Non-friable asbestos does not pose a health risk to people. Slate siding and insul-brick siding will remain intact as long as it is not crumbled, pulverized, or otherwise disturbed to such a degree as to cause the asbestos to no longer bind with its matrix. However, if the siding is disturbed so it is no longer intact, the asbestos in the siding can become friable. Friable asbestos poses a health risk to people. Drilling or sawing slate siding and insul-brick siding can cause the asbestos in the siding to become friable. Therefore, in order to insulate the walls of slate and insul-brick sided dwellings, the siding must be removed in a manner to keep the siding intact. When the walls have been insulated, the siding must be reinstalled in a manner to keep the siding intact. Keeping the siding intact ensures work on slate-sided dwellings will not pose a health risk to workers.

Due to the potential health hazard posed by friable asbestos, the Iowa Weatherization Program has developed the following policies and procedures to address the work done on dwellings with slate-sided and insul-brick siding. These policies and procedures incorporate the OSHA and EPA regulations which apply to this work.

Slate siding should only be removed from residential dwellings with fewer than 5 units. Slate siding should not be removed from residential dwellings with 5 or more units. Residential dwellings with 5 or more units may, however, still be weatherized if other measures are called for by the NEAT Audit.

Slate siding may not be removed from dwellings either currently used for commercial purposes, or were once used for commercial purposes.

Asbestos regulations governing commercial structures, dwellings used for commercial purposes, and dwellings once used for commercial purposes, fall under EPA's asbestos regulations, which have more stringent

## State Plan/Master File Worksheet - (Attachment)

requirements than OSHA's regulations.

**1. Exposure Assessment**

Agencies must have a person who is qualified to supervise the removal and reinstallation of slate and insul-brick siding.

The qualified person must be on-site during the time the slate siding is removed and reinstalled. The qualified person does not have to be on the job-site during other times.

Prior to removing any slate and insul-brick siding, the qualified person must conduct an exposure assessment. The assessment is to determine whether the workers' expected exposure to friable asbestos, while removing or reinstalling the siding, would be above or below the permissible exposure limit (PEL).

The exposure assessment is an OSHA requirement.

If the initial hazard exposure assessment determines worker exposure is expected to be below the permissible exposure limit (PEL), the siding may be removed. If it is determined worker exposure is expected to be above the PEL, the siding may not be removed, unless respirators and protective clothing are used by the workers, in accordance with 29 CFR Part 1926.1101.

The assessment may take into account any previous monitoring results conducted at a job site where similar procedures/standards were followed and similar conditions existed. The use of prior test results for the hazard exposure determination meets this requirement. If prior testing found the level of airborne asbestos fibers was below the permissible exposure limits (PEL), when safe work practices were followed then the results of those tests may be used by the qualified person to assume the level of airborne asbestos fibers, at the new job site, will also be below the permissible exposure limits, if the same safe work practices are followed.

**2. Slate Siding Safe Work Practices**

The Iowa Weatherization Program requires local agencies to follow certain practices when removing and re-installing slate siding. These practices are ways to minimize and contain hazards inside the work area (also known as containment) and are designed to protect clients and workers when removing and re-installing slate siding. Refer to the Weatherization General Appendix for more detailed information concerning slate siding requirements and safe-work procedures.

**E. Unsanitary Conditions**

Any unsanitary conditions, including insect pests, animal or bird feces/carcasses or sewage leakage in the work area must be recorded on the Health & Safety Assessment Findings Form.

**1. Animal Feces or Raw Sewage**

If animal feces or raw sewage are in the way of doing work or pose a health threat to workers, the feces/sewage must be removed by the client before work is begun or continued. If the client refuses to do this, the agency must walk away from the job. This must be documented on the Health and Safety Assessment Form.

**2. Bird/Bat Droppings**

There are some fungal diseases associated with bird and bat droppings. Those are histoplasmosis and cryptococcosis. Histoplasmosis is caused by a fungus that is transmitted to humans by airborne fungus spores from soil contaminated with bird droppings. The fungus is not in the bird droppings but in the soil. The bird droppings just provide a nutrient source for the growth of the fungi. Most infections are mild and produce either no symptoms or minor flu-like symptoms. Fresh bird droppings have not been shown to present a health risk for histoplasmosis.

Cryptococcosis is found in debris around pigeon roosts and soil contaminated with pigeon or chicken droppings. Cryptococcosis infections are mild and usually occur without symptoms.

Unlike birds, bats can become infected with the organism that can cause histoplasmosis. They can excrete the organism in their droppings. However, the incidence of histoplasmosis being transmitted to humans from bat droppings occurs infrequently.

Exposure to bat droppings only pose a risk if the droppings are dry and are disturbed so the spores become airborne and are inhaled. As a precautionary measure, evaluators should wear an NIOSH-certified respirator (an N95 respirator is sufficient) when entering attics until they have had a chance to determine whether bat droppings are present.

## State Plan/Master File Worksheet - (Attachment)

If bat droppings are present but will not prevent attic by-pass sealing and attic insulation from being done, work may proceed. However, protective clothing including an NIOSH-certified respirator that can filter particles as small as 0.3 microns, disposable gloves, overalls and boots must be worn. The bat droppings should be misted with water to prevent the spores from becoming airborne.

If the bat feces will prevent attic by-pass sealing and attic insulation from being done, do not do those measures. Do a one-point pressurization test and conduct a pressure test in the attic. With the blower door @ 50 pascals, if the house to zone (attic) pressure is 45 pascals or more, other work on the house may be done. If the house to zone (attic) pressure is less than 45 pascals, defer any work on the house. (A pressure reading of 45-50 pascals would indicate very little by-pass leakage, thus other work could be done to the home without concern about the by-passes not being sealed. A reading of less than 45 pascals indicates there is enough by-pass leakage to possibly be a problem. Therefore, all work on the house should be deferred.)

**F. Animals**

If there is an animal in the house or on the house grounds that is menacing, or if a worker is uncomfortable being around the animal, require the client to restrain the animal before proceeding with any work. If the client refuses to do this, defer work on the house. Document this on the Health and Safety Assessment Form.

Any bite from an animal, particularly a wild animal, should always be considered a potential for rabies exposure. If a worker is bitten by an animal, the worker should immediately and thoroughly wash the bite wound and then seek medical care. If a worker is bitten by a bat, an attempt should be made to kill the bat without destroying the head. The bat should be placed in a cloth or plastic bag and then shipped under refrigeration to the nearest health laboratory for examination for rabies. Any animal bite should be reported to the appropriate local agency personnel.

**G. Electrical Hazards**

Correcting electrical wiring problems is generally not an allowable weatherization measure. Wires are inspected to ensure they are not bare or frayed.. Service boxes are inspected to ensure they have secure covers. Fuses and breakers are inspected to ensure they are properly sized. S-type fuses must be installed in homes having knob and tube wiring, before insulating in the attic or walls. If it is determined a hazardous situation exists, the problem must be corrected before weatherization work is started. Program funds may be used to correct minor electrical problems but spending must be within the General Health and Safety Repair cost limits. A licensed (if required) electrical contractor will be used to perform electrical work needed to correct a problem.

**H. Fire Hazards**

There must be a minimum of three (3) feet clearance of combustible materials around combustion appliances. If this situation does not already exist, workers must move items the required 3 feet away from the appliance and explain the potential safety problem to the client.

All combustible materials must be a minimum of one (1) inch from the vent pipe or meet manufacturer's specifications. Damning material must also be around all heat sources in the attic, such as flue pipes and chimneys.

Smoke alarms must be installed for the following reasons:

- When space heaters are replaced with a vented space heater.
- When mobile homes are weatherized.
- When local codes require their installation.

**I. Suspected Asbestos****1. Friable Asbestos**

Weatherization measures will not be installed if they will disturb suspected friable asbestos. Program funds may not be used for asbestos abatement.

**2. Slate Sided Dwellings**

Slate siding and insul-brick siding are considered presumed asbestos containing material (PACM) because some of it contains asbestos. Slate siding policies and safe work practices are discussed in Subsection III.D.

**3. Vermiculite**

## State Plan/Master File Worksheet - (Attachment)

Vermiculite has been used as an insulating material in some homes. Much of the world's supply of vermiculite came from one mine in Montana. Because this mine had a natural deposit of asbestos, the vermiculite collected from the mine may have been contaminated with asbestos. If vermiculite is found in a home, there is no way to tell if it contains asbestos without testing it. Program Notice 07-02 describes the procedures to follow for sampling and testing vermiculite.

- If vermiculite is in the walls.
  - Have a sample of the vermiculite tested to see if it contains asbestos.
    - If test results show there is no asbestos in the vermiculite, the walls may be insulated, if needed.
    - If test results show there is asbestos in the vermiculite, do not insulate the walls. Operate the blower door in the pressurization mode. Other work may be done on the home.
- If vermiculite is in the attic.
  - Have a sample of the vermiculite tested to see if it contains asbestos.
    - If the test results indicate there is no asbestos in the vermiculite, do attic air sealing and insulate over the existing vermiculite.
    - If the test results indicate there is asbestos in the vermiculite:
      - Attic bypass sealing should not be completed nor should the attic be insulated.
      - To reduce the risk of moisture problems in the attic, the attic must be properly vented. If needed, add ventilation to ensure one (1) square foot of venting for every 300 square feet of attic floor space. This is necessary because the bypasses are not sealed.
      - Other energy efficiency measures and health and safety measures may be done. Operate the blower door in the pressurization mode.

## J. Indoor Air Quality

### 1. Building Tightness Limits (BTL)

A Building Tightness Limit (BTL) must be calculated for every home. The purpose of the Building Tightness Limit calculation is to ensure the home complies with ASHRAE Standard 62-2001, Standard for Acceptable Indoor Air Quality. Calculating the Building Tightness Limit helps to identify an existing indoor air quality problem in a home and helps to prevent the creation of an indoor air quality problem in a home.

The Building Tightness Limit is calculated by using either the BTL calculation method or the BTLA calculation method. The BTLA method must be used when CFM50 is less than the BTL calculation. The BTLA method helps in determining if a home will need continuous exhaust ventilation.

In addition, a Depressurization Tightness Limit (DTL) must also be calculated for each home that has an atmospherically vented combustion appliance. The Depressurization Tightness Limit is used to develop a tightening limit for safe combustion appliance venting. It is used to identify potential back-drafting problems.

Finally, An Overall Tightness Limit (OTL) must be determined. The Overall Tightness Limit is the larger of the Building Tightness Limit (BTL) and the Depressurization Tightness Limit (DTL). The Overall Tightness Limit (OTL) is the weatherization tightness limit for the home.

The various limits provide guidance as to when mechanical ventilation needs to be installed or when there is a potential draft problem with one or more combustion appliances. For example, if the whole house CFM50 is below BTL, exhaust ventilation should be installed and if the whole house CFM50 is below the DTL, draft problems need to be mitigated.

Refer to the Work Standards for information on how to calculate the BTL, BTLA, and DTL.

### 2. Air Leakage between Attached or Tuck-Under Garages and the Living Area of a Home

Zone pressure diagnostics must be done on all homes that have an attached or tuck-under garage. This is called garage leakage testing and is done to determine the extent of air leakage between the garage and the living area of the house. This is important because air movement can transport pollutants from the garage into the living area of a house. When an automobile engine is started, it puts out very high levels of carbon monoxide (CO). Even if the car is backed out soon after starting, if the garage door is closed,



**State Plan/Master File Worksheet - (Attachment)**

high levels of CO are trapped in the garage. If there are cracks or gaps in the entry door frame or in the wall between the garage and the house; or if there are wiring or plumbing penetrations, the CO will find its way through these leakage pathways into the home. (According to a recent study, the number one cause of CO alarm calls is from CO leaking into homes from attached garages.)

In addition to carbon monoxide, automobile exhaust also contains other pathogens such as nitrogen dioxide, sulphur dioxide, and benzene. Garages are also used to store other products that contain harmful pollutants. Examples of this include gasoline, paint, varnish, insecticides, and herbicides.

The Iowa Weatherization Program has established a CFM target of post weatherization leakage between a garage and the living area of a house. If post weatherization CFM leakage is above the target, air sealing of the wall between the garage and the living area of the house must be done to get the CFM leakage as low as possible.

**3. Volatile Organic Compounds (VOCs)**

Volatile Organic Compounds (VOCs) are widely used as ingredients in many household products, such as paints, varnishes, fuels, and many cleaning, disinfecting, cosmetic, and hobby products. These products can release the organic compounds as vapor when they are used and, to some extent, when they are stored. Formaldehyde is a volatile organic compound found in many building materials and household products, such as new carpets and plywood. These products release the organic compounds over time. Organic compounds sometimes have adverse health effects on people.

Because of the potential for adverse health effects, local agencies must take this into consideration when determining air tightness limits of dwellings and whether installing ventilation may be needed.

**4. Radon**

Radon abatement is not an allowable activity under the program. Where there is a previously identified radon problem in a home, work that may exacerbate the problem should be limited. Houses with previously identified radon problems should not be left with an increased negative pressure in the contaminated area than existed before weatherization work began. This is determined by setting the house up in worst-case. The Work Standards describes worst-case testing methods. Major radon problems should be referred to the appropriate local environmental agency.

**K. Mechanical Ventilation**

Proper ventilation in a home is needed in order to ensure indoor air quality problems, such as excessive moisture and build-up of indoor pollutants do not exist. To ensure a home has acceptable ventilation, as determined by building tightness limit calculations; intermittent or continuous mechanical ventilation systems may be installed. Ventilation equipment may also be installed to address excessive moisture in homes.

**L. Building Structure**

Building rehabilitation and renovation is beyond the scope of the Weatherization Program. Homes whose structural integrity is in question should be referred to a housing rehabilitation program, if possible. Incidental repairs necessary for the effective performance and preservation of weatherization materials are allowed. An example of a limited repair would be sealing minor roof leaks to preserve attic insulation. Weatherization services should not be performed on dwellings whose structural integrity is in question, which could pose a safety hazard to workers, or are in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner.

**IV. Other Health and Safety Issues****A. Code Compliance**

Local agencies must ensure that weatherization-related work complies with all applicable codes.

**B. Refrigerants**

Refrigeration appliances that are replaced must be disposed of according to the environmental standards in the Clean Air Act (1990), Section 608, as amended by the Final Rule, 40 CFR 82, May 14, 1993. The party recovering the refrigerant must possess an EPA-approved Section 608 Type II license or an approved universal certification.

**C. Pollution Occurrence Insurance**

Local agencies must ensure the weatherization activities are covered by Pollution Occurrence Insurance (POI)

## State Plan/Master File Worksheet - (Attachment)

which covers environmental pollutants such as lead paint dust. Crew-based agencies must have this insurance for work done by its crews. Contractor-based agencies must have this insurance to cover the work done by its contractors.

**V. General Health & Safety Repairs**

General Health and Safety Repairs are defined as "Repairs necessary (1) for installation of weatherization materials; (2) to maintain the integrity of weatherization materials; (3) to eliminate health and safety problems in the home (i.e. moisture problems)." General Health and Safety Repairs is limited to plumbing repairs, sump pumps, ENERGY STAR® dehumidifiers, electrical repairs, gutters and downspouts, banking and grading and mold/mildew cleanup. The cost limit for this category is described in the Weatherization General Appendix. There are no waivers allowed.

**A. Plumbing Repair**

Leaking water pipes and sewer lines may cause moisture problems within the house. Minor repairs may be made to water pipes and sewer lines within spending limits, but cleanup of any unsanitary conditions due to these leaks is the sole responsibility of the client.

**B. Sump Pumps**

Sump pumps may be installed to control water in lower levels of the home. Pumps must be installed to meet manufacturer's instructions and all local codes.

**C. Dehumidifiers**

Dehumidifiers may be installed, with client permission, to help control humidity in basements during summer months in homes with existing mold or moisture problems. Explain to the client that the dehumidifier might result in an increase in electric usage. All moisture source control methods must have been exhausted before installing a dehumidifier. Dehumidifiers must be ENERGY STAR® rated and installed to drain properly. If a drain does not exist, a dehumidifier may not be installed. Educate the client on proper usage of the dehumidifier including settings and summer/winter use. State approval is required prior to installing a dehumidifier.

**D. Gutter/Downspout Repair and Banking/Grading**

Note the presence, condition and effectiveness of the gutter and downspout system. Note the general drainage condition around the house. Determine whether the slope of the ground would cause water to run into the house. Gutter and downspout system repair may be made within the program cost limits. The program may also provide needed banking and grading within program cost limits.

**E. Electrical Repair**

Correcting electrical wiring problems is generally not an allowable weatherization measure. Inspect for bare wires and knob and tube wiring. S-type fuses must be installed in homes having knob and tube wire, before installing insulation in the attic. Minor electrical repairs may be made within program cost.

Determine the type and amp rating of the main service box. This information should be available on the main service box.

Determine existing wire type and the location and condition of each type present.

Note the size of the existing fuses/breakers and determine if they are properly sized for their circuits.

If the evaluator determines that a hazardous situation exists, the problem must be corrected before weatherization work is started.

**F. Moisture/Mold Cleanup**

Moisture/mold cleanup is allowed as described in Section III.B.2.b.

**VI. Deferral/Walk-Away Policy**

Although a client may be eligible for the Weatherization Program, there are situations or conditions where weatherization services should be deferred (i.e. delayed or postponed). Hopefully, the decision to defer weatherization can be made before work, or any significant work, begins on a dwelling. However, there are times when work will have begun on a dwelling before one of the situations or conditions is identified. In those cases, the local agency should defer doing any

## State Plan/Master File Worksheet - (Attachment)

additional work.

Deferring work on a dwelling does not mean the dwelling will never be weatherized. If the situation or condition causing the deferral changes, it may be possible to begin or complete the work. For example, a dwelling shouldn't be weatherized if it has a bad roof. However, the dwelling can be weatherized later if the roof is replaced/repared. Another example is a dwelling undergoing remodeling. The dwelling should not be weatherized while it is being remodeled. However, after the remodeling is completed, the dwelling may be weatherized.

**Deferral Notification**

When an agency defers work on a dwelling, it must notify the client, and the landlord when appropriate, in writing of the reason for the deferral. The notification must include, at a minimum, the reason why work is being deferred and, when appropriate, what corrective action the client or landlord must take so the weatherization services can be rescheduled. A copy of the notification with documentation justifying the decision to defer services must be kept in the client/house file. Agencies should attempt to identify all reasons why work is being deferred on a home and notify the client or landlord of all the reasons.

Following are reasons weatherization services should be deferred. This list is not intended to be all inclusive:

- When a client:
  - Refuses to sign the "Client Consent Form". (See Section 2011.01)
  - Is uncooperative including, but not limited to:
    - Refusing to allow the installation of top energy efficiency measures or important health and safety measures.
    - Refusing access to parts of house that prevent the evaluation of the house from being performed or prevents important measures from being installed.
    - Refusing to change behavior that can cause health and safety problems (e.g. refusal to discontinue using excessive number of humidifiers).
  - Moves or dies while weatherization services are being provided. (Weatherization services may be completed if the majority of work is done prior to the client moving/dying.)
- When a client, or other occupant in a dwelling:
  - Is threatening or physically or verbally abusive.
  - Has known health conditions which prohibit the installation of insulation or other materials.
  - Is involved in illegal activities.
- When a dwelling:
  - Is posted as being "For Sale" or is known to be for sale (except homes currently in a housing rehabilitation program).
  - Is scheduled for demolition.
  - Poses a health or safety hazard to crew workers or contractors, for example, rats, bats, roaches, reptiles, insects, animals or other vermin inappropriately or not properly contained on the premises.
  - Has health and safety hazards that must be corrected by the client (or landlord) before weatherization services may begin. Examples include, but are not limited to:
    - Severe mold or moisture problems (such as pooling in the crawlspace or standing water in the basement) so severe they cannot be resolved within program limits.
    - The presence of animal feces or raw sewage that prevents weatherization measures from being installed.
    - The presence of an unvented space heater unless the unvented space heater is removed from the dwelling. (A vented space heating system may be installed as a replacement if needed.)
    - The presence of an unsafe combustion heating system or water heater, unless the landlord repairs or replaces the unsafe combustion appliance. (For renter situations.)
    - The presence of disconnected water waste pipes or hazardous electrical wiring.
    - The presence of asbestos, including vermiculite that contains asbestos, that prevents weatherization measures from being installed.
    - When health and safety hazards, including unsafe combustion appliances, could pose a health or safety threat to clients but the weatherization program cannot mitigate the hazards due to expenditure limits or program rule/policy limits.
  - Is undergoing remodeling or has unfinished areas, which directly affect the weatherization process. Weatherization work may be done when the remodeling is completed.
  - Is so full of clutter a weatherization evaluation or weatherization services cannot be done.
  - Is beyond the scope of the program due to major structural deficiencies or is in such a state of disrepair that failure is imminent and the conditions cannot be resolved in a cost-effective manner. Examples would be dwellings requiring a new roof or foundation repair or where lead exposure cannot be mitigated with safe work practices.
- When a mobile home:
  - Has a heating system other than a heating system manufactured for mobile homes or a sealed combustion high efficiency furnace with modifications per manufacturer's instructions and installed properly to include outside air for combustion.

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: IA Grant Number: EE00105 Program Year: 2009

Name: <b>Eastern Iowa, Community Action of</b>		Contact: Tom Wiebenga
Address: 500 E 59th Davenport, IA 52807-2623		Phone: (563)324-3236 Fax: (563)324-0843 Email: twiebenga@iowacommunityaction.org
Counties served: Cedar Clinton Muscatine Scott	Tentative allocation: \$ 6,692,997.02 Planned units: 654 Type of organization: Local agency	Congressional districts served: <u>CD</u> 01 02
Name: <b>Hawkeye Area Community Action Program</b>		Contact: Bob Freese
Address: 1515 Hawkeye Drive P.O. Box 490 Hiawatha, IA 52233-0490		Phone: (319)393-7811 Fax: (319)393-2793 Email: rfreese@hacap.org
Counties served: Benton Iowa Johnson Jones Linn Washington	Tentative allocation: \$ 8,958,432.62 Planned units: 875 Type of organization: Local agency	Congressional districts served: <u>CD</u> 01 02 03
Name: <b>MATURA Action Corporation</b>		Contact: Eldon Starmar
Address: 203 West Adams Street Creston, IA 50801		Phone: (641)782-8431 Fax: (641)782-6287 Email: estarmer@maturaaction.org
Counties served: Adair Adams Madison Ringgold Taylor Union	Tentative allocation: \$ 1,593,922.10 Planned units: 156 Type of organization: Local agency	Congressional districts served: <u>CD</u> 04 05
Name: <b>Mid-Iowa Community Action (MICA)</b>		Contact: Arlene McAtee
Address: 1001 S. 18th Ave. Marshalltown, IA 50158		Phone: (641)752-7162 Fax: (641)752-9724 Email: arlene@micaonline.org
Counties served: Hardin Jasper Marshall Poweshiek Story Tama	Tentative allocation: \$ 5,630,382.28 Planned units: 550 Type of organization: Local agency	Congressional districts served: <u>CD</u> 03 04
Name: <b>Mid-Sioux Opportunity Inc.</b>		Contact: Julie Colling
Address: 418 Marion Street Remsen, IA 51050-1102		Phone: (712)786-3415 Fax: (712)786-3250 Email: jcolling@midsioux.org

DOE F 540.5

U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: IA Grant Number: EE00105 Program Year: 2009

Counties served:	Cherokee Ida Lyon Plymouth Sioux	Tentative allocation: \$ 1,918,609.95 Planned units: 187 Type of organization: Local agency	Congressional districts served:	CD 05
Name:	<b>New Opportunities, Inc</b>	Contact:	Ron Morlok	
Address:	23751 Hwy 30 East P.O. Box 427 Carroll, IA 51401-0427	Phone:	(712)792-9266	
		Fax:	(712)792-5723	
		Email:	rmorlok@newopp.org	
Counties served:	Audubon Calhoun Carroll Crawford Dallas Greene Guthrie Sac	Tentative allocation: \$ 3,276,395.46 Planned units: 320 Type of organization: Local agency	Congressional districts served:	CD 04 05
Name:	<b>North Iowa Community Action Organization</b>	Contact:	Bart Pals	
Address:	218 Fifth St, SW PO Box 1627 Mason City, IA 50402-1627	Phone:	(641)424-6453	
		Fax:	(641)424-9046	
		Email:	bpals@nicao-online.org	
Counties served:	Butler Cerro Gordo Floyd Franklin Hancock Kossuth Mitchell Winnebago Worth	Tentative allocation: \$ 4,132,390.67 Planned units: 404 Type of organization: Local agency	Congressional districts served:	CD 01 04
Name:	<b>Northeast Iowa Community Action Corporation</b>	Contact:	Jim Perry	
Address:	305 Montgomery P.O. Box 487 Decorah, IA 52101-0487	Phone:	(563)382-8436	
		Fax:	(563)382-9854	
		Email:	jim@neicac-online.org	
Counties served:	Allamakee Bremer Chickasaw Clayton Fayette Howard Winneshiek	Tentative allocation: \$ 3,150,947.88 Planned units: 308 Type of organization: Local agency	Congressional districts served:	CD 01 04

DOE F 540.5

U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: IA Grant Number: EE00105 Program Year: 2009

Name: <b>Operation : New View Community Action Agency</b>		Contact: Mike Strader
Address: 1473 Central Avenue Dubuque, IA 52001-4853		Phone: (563)556-5130 Fax: (563)556-4402 Email: mstrader@operationnewview.org
Counties served: Delaware Dubuque Jackson	Tentative allocation: \$ 2,988,603.96 Planned units: 292 Type of organization: Local agency	Congressional districts served: <u>CD</u> 01
Name: <b>Operation Threshold</b>		Contact: Jeff Roe
Address: 405 Chestnut Street PO Box 4120 Waterloo, IA 50704		Phone: (319)291-2153 Fax: (319)235-1518 Email: jroe@operationthreshold.org
Counties served: Black Hawk Buchanan Grundy	Tentative allocation: \$ 4,560,388.27 Planned units: 445 Type of organization: Local agency	Congressional districts served: <u>CD</u> 01 03
Name: <b>Polk County Board of Supervisors</b>		Contact: John Rowen
Address: Public Works Department 5885 NE 14th St Des Moines, IA 50313-1202		Phone: (515)875-5521 Fax: (515)286-3437 Email: JRowen@co.polk.ia.us
Counties served: Polk	Tentative allocation: \$ 7,600,647.12 Planned units: 743 Type of organization: Unit of local government	Congressional districts served: <u>CD</u> 03
Name: <b>Red Rock Area Community Action Program, Inc</b>		Contact: Laura Hudson
Address: 307 So Jefferson Indianola, IA 50125-3221		Phone: (515)961-6271 Fax: (515)961-6274 Email: lhudson@rracap.org
Counties served: Boone Marion Warren	Tentative allocation: \$ 1,889,092.88 Planned units: 184 Type of organization: Local agency	Congressional districts served: <u>CD</u> 03 04
Name: <b>Siouxland, Community Action Agency of</b>		Contact: Dennis Krause
Address: 2700 Leech Sioux City, IA 51106-1129		Phone: (712)274-1610 Fax: (712)274-0368 Email: dkrause@caasiouxland.org
Counties served: Monona Woodbury	Tentative allocation: \$ 3,099,293.00 Planned units: 303 Type of organization: Local agency	Congressional districts served: <u>CD</u> 05
Name: <b>South Central Iowa Community Action Program</b>		Contact: Linda Clark
Address: 1403 N.W. Church St. Leon, IA 50144-1287		Phone: (641)446-4155 Fax: (641)446-3392 Email: wxscica@grm.net

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DOE F 540.5

U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: IA Grant Number: EE00105 Program Year: 2009

Counties served:	Clarke	Tentative allocation:	\$ 1,534,887.96	Congressional districts	CD
	Decatur	Planned units:	150	served:	02
	Lucas	Type of organization:	Local agency		03
	Monroe				05
	Wayne				

Name:	<b>Southeast Iowa, Community Action of</b>	Contact:	Tom Richert
Address:	2850 Mt Pleasant Street - Suite 108	Phone:	(319)752-2710
	Burlington,, IA 52601-2002	Fax:	(319)753-0687
		Email:	Tom.Richert@caofseia.org

Counties served:	Des Moines	Tentative allocation:	\$ 3,025,500.31	Congressional districts	CD
	Henry	Planned units:	296	served:	02
	Lee	Type of organization:	Local agency		
	Louisa				

Name:	<b>Southern Iowa Economic Development Association</b>	Contact:	Billie Carroll / Terry LaRue
Address:	226 W. Main	Phone:	(641)682-8741
	PO Box 658	Fax:	(641)682-2026
	Ottumwa, IA 52501-0658	Email:	billie@pcsia.com

Counties served:	Appanoose	Tentative allocation:	\$ 3,955,288.21	Congressional districts	CD
	Davis	Planned units:	387	served:	02
	Jefferson	Type of organization:	Local agency		03
	Keokuk				
	Mahaska				
	Van Buren				
	Wapello				

Name:	<b>Upper Des Moines Opportunity, Inc.</b>	Contact:	Rich Kelly
Address:	101 Robbins Ave.	Phone:	(712)852-4241
	P.O. Box 519	Fax:	(712)852-4063
	Graettinger, IA 51342-0519	Email:	Rkelly@udmo.com

Counties served:	Buena Vista	Tentative allocation:	\$ 4,981,006.61	Congressional districts	CD
	Clay	Planned units:	487	served:	04
	Dickinson	Type of organization:	Local agency		05
	Emmet				
	Hamilton				
	Humboldt				
	Obrien				
	Osceola				
	Palo Alto				
	Pocahontas				
	Webster				
	Wright				

Name:	<b>West Central Community Action</b>	Contact:	Marilyn Rodacker
Address:	1108 Eighth St	Phone:	(712)755-5618
	PO Box 709	Fax:	(712)755-7890
	Harlan, IA 51537-0709	Email:	mrodacker@wcde-caa.com

WAPSUBS.RPT

WinSAGA, 4/28/2009

10:13:25 am

DOE F 540.5

U.S. Department of Energy

OMB Control No. 1910-5127

(08/05)

**WEATHERIZATION ASSISTANCE PROGRAM  
SUBGRANTEE INFORMATION**

Expiration Date: 6-30-08

State: IA Grant Number: EE00105 Program Year: 2009

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Counties served:	Cass	Tentative allocation:	\$ 4,803,904.15	Congressional districts	<u>CD</u>
	Fremont	Planned units:	470	served:	<u>05</u>
	Harrison	Type of organization:	Local agency		
	Mills				
	Montgomery				
	Page				
	Pottawattamie				
	Shelby				

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## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

☒ No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. Standard Form-LLL not required

☐ Funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement. If checked, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period receding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### 3. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

#### ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

(1) The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the work-place not later than five

calendar days after such conviction.

- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to energy grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance:

(Street address, city, county, state, zip code)

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☐ Check if there are workplaces on file that are not identified here

#### 4. LOBBYING DISCLOSURE ACT OF 1995, SIMPSON-CRAIG AMENDMENT

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

*Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational, or recreational purposes.*

As set forth in the Lobbying Disclosure Act of 1995 (Public Law 104-65, December 19, 1995), as amended ["Simpson-Craig Amendment," see Section 129 of The Balanced Budget Downpayment Act, I (Public Law 104-99, January 26, 1996)], lobbying activities is defined broadly. (See section 3 of the Act.)

The undersigned certifies, to the best of his or her knowledge and belief, that: it IS NOT an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; OR that it IS an organization described in section 501(c)(4) of the Internal Revenue Code of 1986, which, after December 31, 1995, HAS NOT engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

#### ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substances in conducting any activity with the grant.

If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT State of Iowa	PR/AWARD NUMBER AND/OR PROJECT NAME 09T012551
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE WILLIAM J. BRAND Administrator, Community Action Agencies	
SIGNATURE Signed Electronically	DATE 01/23/2009

**OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

**STATE OF IOWA**

(Hereinafter called the "Applicant") HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub. L. 93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub. L. 93-438), Title IX of the Education Amendments of 1972, as amended, (Pub. L. 92-318, Pub. L. 93-568, and Pub. L. 94-482), Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), the Age Discrimination Act of 1977 (Pub. L. 94-135), Title VIII of the Civil Rights Act of 1968 (Pub. L. 90-284), the Department of Energy Organization Act of 1977 (Pub. L. 95-91), the Energy Conservation and Production Act of 1976, as amended, (Pub. L. 94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

**Applicability and Period of Obligation**

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

**Employment Practices**

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment, advertising, hiring, layoff or termination; promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

**Subrecipient Assurance**

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws and regulations cited above. To this end, the subrecipient shall be required to sign a written assurance form; however, the obligation of both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

**Data Collection and Access to Records**

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age and disability in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to the obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

All Other Editions Are Obsolete

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy. Facilities of the Applicant (including the physical plants, buildings, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours of request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereof, to the Applicants by the Department of Energy, including installment payments on account after such date of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signatures appear below and who are authorized to sign this assurance on behalf of the Applicant.

### Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

WILLIAM J. BRAND

Administrator, Community Action Agencies

Name and Title (Printed or Typed)

(515)281-3268

Telephone Number

Signed Electronically

Signature

04/28/2009

Date

STATE OF IOWA

Applicant's Name

( ) -

Telephone Number

Address: Lucas State Office Building  
Des Moines  
Polk  
IA 50319-

04/16/2009

Date

Authorized Official:

President, Chief Executive Officer  
or Authorized Designee

Name and Title (Printed or Typed)

Telephone Number

Signature

Date

# DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352 0348-0046  
(See reverse for public burden disclosure.)

<p>1. Type of Federal Action:</p> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-bottom: 5px;"><b>b</b></div> <p>a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance</p>	<p>2. Status of Federal Action:</p> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-bottom: 5px;"><b>b</b></div> <p>a. bid/offer/application b. initial award c. post-award</p>	<p>3. Report Type:</p> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-bottom: 5px;"><b>a</b></div> <p>a. initial filing b. material change For Material Change Only: year _____ quarter _____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity:</p> <div style="display: flex; justify-content: space-between; margin-bottom: 10px;"> <div style="width: 45%;"> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-bottom: 5px;"><b>X</b></div> Prime                         <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 20px; margin-bottom: 5px;"></div> Subawardee                          Tier, if known:                     </div> <div style="width: 45%;"></div> </div> <p>STATE OF IOWA Lucas State Office Building Des Moines Polk IA 50319- Congressional District, if known:</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>STATE OF IOWA Lucas State Office Building Des Moines Polk IA 50319- Congressional District, if known:</p>
<p>6. Federal Department/Agency:</p> <p>US Dept of Energy - NETL</p>	<p>7. Federal Program Name/Description:</p> <p>ARRA WX Asss't</p> <p>CFDA Number, if applicable: 81.042</p>	
<p>8. Federal Action Number, if known:</p> <p>09EE00105.000</p>	<p>9. Award Amount, if known:</p> <p>\$ 80,834,411.00</p>	
<p>10.a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p> <p>N/A</p> <p style="text-align: center; margin-top: 20px;">(attach Continuation Sheet(S) SF-LLL-A, if necessary)</p>	<p>b. Individuals Performing Services (including address if different from No. 10A) (last name, first name, MI):</p>	
<p>11.</p>	<p>13.</p>	
<p>12.</p>		
<p>14.</p>		
<p>15.</p>		
<p>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each</p>		
<p>Signed Electronically</p> <p>Signature: _____</p> <p>Print Name: WILLIAM J. BRAND</p> <p>Title: Administrator, Community Action Agencies</p> <p>Telephone No.: (515)281-3268 Date: 04/16/2009</p>		<p>Authorized for Local Reproduction Standard Form - LLL</p>

Federal Use Only:

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10.
  - (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
  - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
- 11.
- 12.
- 13.
- 14.
- 15.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

☒ No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. Standard Form-LLL not required

☐ Funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement. If checked, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period receding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### 3. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

#### ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

(1) The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the work-place not later than five

calendar days after such conviction.

- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to energy grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
  - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
  - (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance:

(Street address, city, county, state, zip code)

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☐ Check if there are workplaces on file that are not identified here

#### 4. LOBBYING DISCLOSURE ACT OF 1995, SIMPSON-CRAIG AMENDMENT

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

*Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational, or recreational purposes.*

As set forth in the Lobbying Disclosure Act of 1995 (Public Law 104-65, December 19, 1995), as amended ["Simpson-Craig Amendment," see Section 129 of The Balanced Budget Downpayment Act, I (Public Law 104-99, January 26, 1996)], lobbying activities is defined broadly. (See section 3 of the Act.)

The undersigned certifies, to the best of his or her knowledge and belief, that: it IS NOT an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; OR that it IS an organization described in section 501(c)(4) of the Internal Revenue Code of 1986, which, after December 31, 1995, HAS NOT engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

#### ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substances in conducting any activity with the grant.

If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT STATE OF IOWA	PR/AWARD NUMBER AND/OR PROJECT NAME 09EE00105
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE WILLIAM J. BRAND Administrator, Community Action Agencies	
SIGNATURE Signed Electronically	DATE 04/16/2009



AGENCY	PY '09 % Rate	CAA's Stimulus DOE & T&TA Amount	Admin DOE (% of total)	T&TA Amount	Program Funds	Health & Safety (20,000 x pf)	Support (25,925 x pf)	Labor (27,037 x pf)	Materials (27,037 x pf)	Projected # of Homes Rentals
Eastern Ia, CAA	9.070%	6,692,997.02	366,584.05	1,012,993.65	5,313,419.32	1,062,683.86	1,377,553.37	1,436,591.05	1,436,591.04	654 33
HACAP	12.140%	8,958,432.62	490,664.87	1,355,870.23	7,111,897.52	1,422,379.50	1,843,825.57	1,922,846.23	1,922,846.22	875 44
MATURA	2.160%	1,593,922.10	87,301.16	241,242.15	1,265,378.79	253,075.76	328,061.22	342,120.91	342,120.90	156 8
MICA	7.630%	5,630,382.28	308,383.28	852,165.55	4,469,833.45	893,966.69	1,158,845.89	1,208,510.44	1,208,510.43	550 28
Mid-Sioux Oppor	2.600%	1,918,609.95	105,084.73	290,384.07	1,523,141.15	304,628.23	394,888.51	411,812.21	411,812.20	187 9
New Opportunities	4.440%	3,276,395.46	179,452.39	495,886.64	2,601,056.43	520,211.28	674,348.07	703,248.54	703,248.54	320 16
North Iowa	5.600%	4,132,390.67	226,336.35	625,442.61	3,280,611.71	656,122.34	850,529.09	886,980.13	886,980.15	404 20
NE Iowa	4.270%	3,150,947.88	172,581.47	476,899.99	2,501,466.42	500,293.29	648,528.45	676,322.35	676,322.33	308 15
Operation New View	4.050%	2,988,603.96	163,689.68	452,329.03	2,372,585.25	474,517.05	615,114.79	641,476.70	641,476.71	292 15
Operation Threshold	6.180%	4,560,388.27	249,778.33	690,220.59	3,620,389.35	724,077.87	938,619.61	978,845.93	978,845.94	445 22
Polk County	10.300%	7,600,647.12	416,297.22	1,150,367.65	6,033,982.25	1,206,796.45	1,564,366.01	1,631,409.89	1,631,409.90	743 37
Red Rock	2.560%	1,859,092.88	103,468.05	285,916.62	1,499,708.21	299,941.64	388,813.30	405,476.63	405,476.64	184 9
Siouxland	4.200%	3,099,293.00	169,752.26	469,081.96	2,460,458.78	492,091.76	637,896.82	665,235.10	665,235.10	303 15
SCICAP	2.080%	1,534,887.96	84,067.79	232,307.25	1,218,512.92	243,702.58	315,910.81	329,449.76	329,449.77	150 8
SE Iowa	4.100%	3,025,500.31	165,710.54	457,913.34	2,401,876.43	480,375.29	622,708.80	649,396.17	649,396.17	296 15
SIEDA	5.360%	3,955,288.21	216,636.22	598,637.92	3,140,014.07	628,002.81	814,077.85	848,966.70	848,966.71	387 19
Upper DSM	6.750%	4,981,006.61	272,816.14	753,881.72	3,954,308.75	790,861.75	1,025,191.32	1,069,127.84	1,069,127.84	487 24
West Central	6.510%	4,803,904.15	263,116.02	727,077.03	3,813,711.10	762,742.23	988,740.07	1,031,114.41	1,031,114.39	470 24
<b>(Sum) Totals:</b>	<b>100.000%</b>	<b>73,792,690.45</b>	<b>4,041,720.55</b>	<b>11,168,618.00</b>	<b>58,582,351.90</b>	<b>11,716,470.38</b>	<b>15,183,019.55</b>	<b>15,838,930.99</b>	<b>15,838,930.98</b>	<b>7210 361</b>

Table I